

Fiscal Year 2011-2012 Consolidated Annual Performance and Evaluation Report (CAPER)



Expansion and Rehabilitation of Emerson Wight Park, South End Neighborhood
Project funded by Community Development Block Grant Program

PLACEHOLDER FOR HUD LETTER APPROVING CAPER

**CITY OF SPRINGFIELD, MASSACHUSETTS
OFFICE OF COMMUNITY DEVELOPMENT Consolidated Annual
Performance and Evaluation Report (CAPER)**

Program Year: July 1, 2011 - June 30, 2012

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Executive Summary

Purpose

The City of Springfield's Consolidated Annual Performance and Evaluation Report (CAPER) describes the City's accomplishments of projects and programs funded by the U.S. Department of Housing and Urban Development. These programs include the Community Development Block Grant (CDBG) program, the Home Investment Partnership (HOME) program, the Neighborhood Stabilization Program (NSP), the Emergency Solutions Grant (ESG) program, the McKinney-Vento funds, and Housing Opportunities for Persons with AIDS (HOPWA) program.

The goal of this report is to compare the anticipated benefits projected in the City's Annual and Five year plans with the actual accomplishments achieved. Every attempt is made to provide a programmatic and financial analysis in a meaningful, user-friendly format comprehensible to all Springfield's residents.

Executive Summary

A DRAFT of the CAPER for the fiscal year that commenced on July 1, 2011 and ended on June 30, 2012 (FY 11-2012) was posted online and available for public review from Friday, August 31st through Friday, September 14, 2012 and a public hearing was held on Tuesday, September 11, 2012 at 5:00 PM in room 220 in City Hall. During the review period copies of the Draft CAPER are available to all Springfield residents at the following locations:

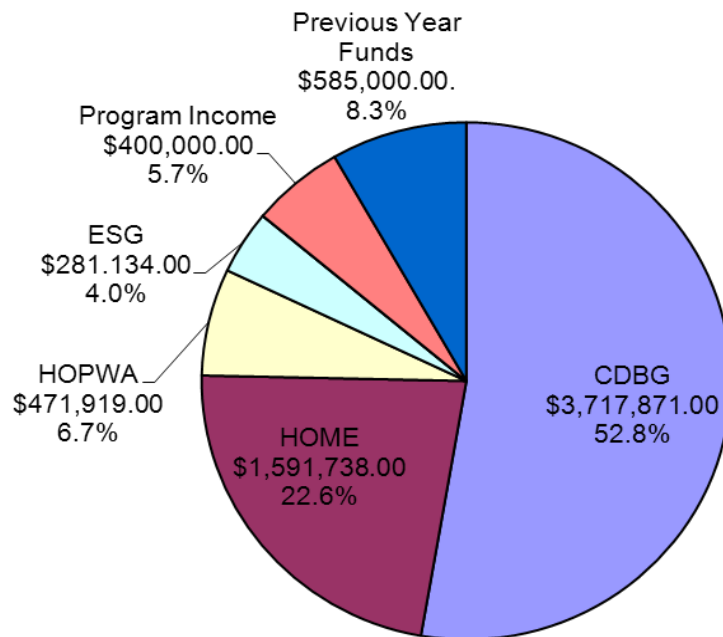
- Office of Planning & Economic Development, 70 Tapley Street
- Office of Community Development, City Hall, 1600 E. Columbus Avenue
- Office of Housing, 1600 E Columbus Avenue, 1st Floor
- Department of Health and Human Services, 95 State Street
- http://www.springfieldcityhall.com/cos/Services/dept_cd.htm

An announcement about the hearing and the availability of the draft document was published in English and Spanish in the Springfield Republican on August 24, 2012, and in the Neighborhoods Plus Section on September 5, 2012, and a flyer was mailed to persons and organizations included on the Office of Community Development's extensive mailing list. The advertisement also solicited written feedback from Springfield residents. A summary of comments received will be included in the final version of the CAPER.

Introduction

In FY11-12, the Department of Housing and Urban Development (HUD) awarded the City of Springfield a total of \$7,016,518.00 in entitlement funding. The City received \$3,717,871.00 through the Community Development Block Grant (CDBG) Program, \$281,134.00 through the Emergency Solutions Grant (ESG) program, \$1,591,738.00 through the HOME Investment Partnership (HOME) Program, and \$471,919.00 through the Housing Opportunities for Persons with AIDS (HOPWA) Program. Prior year funds of \$585,000.00, as well as estimated program income totaling \$400,000.00, were also available. Therefore, total entitlement funding available for the program year was \$7,047,662.00.

Total Sources of Funds FY11-12



During this program year, 89.35 percent of the City's CDBG funds were used to benefit low- to moderate-income persons. The majority of CDBG funding was allocated for activities classified as economic development, housing, public services, or public infrastructure and facilities. Details of the services, programs, and accomplishments and an analysis of expenditures are provided throughout the CAPER.

This report also provides information and accomplishments completed with Neighborhood Stabilization Program (NSP) funds, which are multi-year HUD grants awarded starting in 2009.

Geographic Distribution, Location of Investments and Families and Persons Assisted

Within the City of Springfield's Five Year Consolidated Plan, the City committed to the overarching goal of undertaking activities that would result in substantial public benefit through the

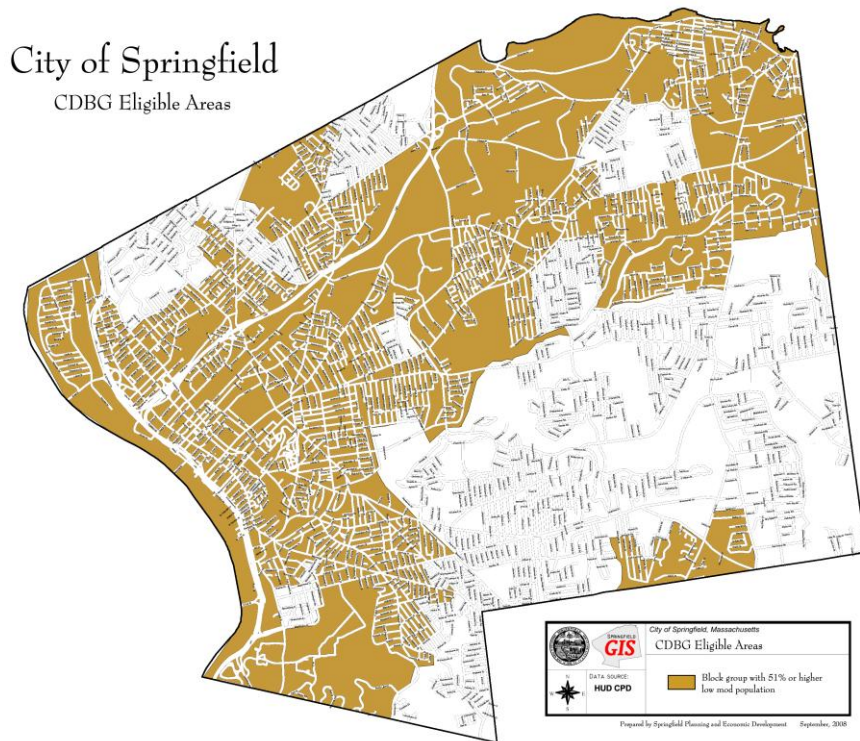
revitalization of depressed areas and in assistance to low/moderate income residents.

CDBG funds were used to serve persons residing in CDBG eligible area, which, in total, is comprised of almost 103,000 persons, an estimated 73.5 percent of which are deemed low- or moderate-income by the 2000 US Census. In 2000, these residents represented many races and ethnicities. Of these persons, approximately 44.0 percent were White, 25.5 percent were Black or African American, 0.4 percent were American Indian/Alaska Native, 2.1 percent were Asian, 0.1 percent were Native Hawaiian and Other Pacific Islander and 29 percent were Other/Multi Racial. In terms of ethnicity, approximately 37% of these persons were Hispanic.

Note that the CDBG and NRSA areas include the following block groups and census tracts (added census tract/block groups due to a 2007 administrative change implemented by HUD are noted in **red type**).

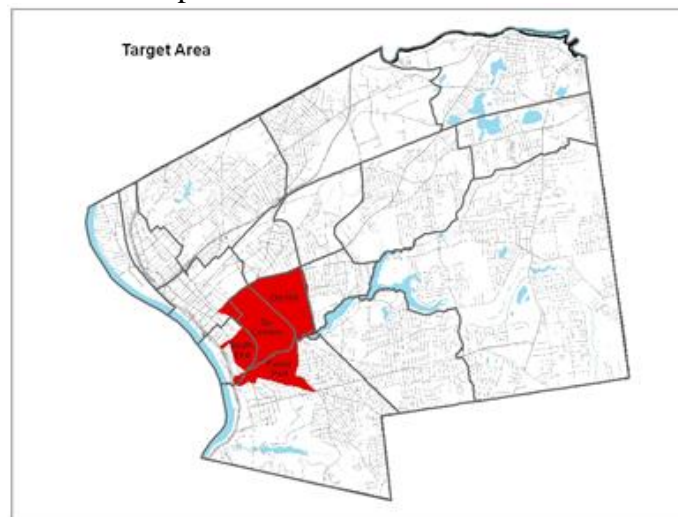
CDBG Eligible Census Tract / Block Groups in Springfield, MA effective 7/1/07

TRACT	NRSA	BLK GRP	LOW MOD PCT	TRACT	NRSA	BLK GRP	LOW MOD PCT	TRACT	NRSA	BLK GRP	LOW MOD PCT
8026.01		3	64.8	8017.00		1	59.7	8011.01		2	100.0
8026.01		4	60.6	8017.00		3	80.3	8009.00		1	86.0
8026.01		5	74.7	8017.00		4	64.5	8009.00		2	84.7
8023.00		1	61.7	8017.00		5	68.6	8009.00		3	96.8
8023.00		2	57.4	8017.00		6	73.4	8009.00		4	70.3
8023.00		4	87.4	8016.05		2	57.9	8009.00		5	90.3
8023.00		5	76.2	8016.03		1	55.8	8008.00	X	1	91.4
8023.00		6	78.2	8016.02		1	60.4	8008.00	X	2	84.5
8022.00		1	69.5	8015.03		1	68.0	8007.00	X	1	88.0
8022.00		2	68.9	8015.03		2	68.9	8007.00	X	2	79.5
8022.00		3	79.1	8015.02		1	60.6	8006.00	X	1	89.3
8021.00		1	80.9	8015.02		2	51.5	8006.00	X	2	96.6
8021.00		4	59.5	8015.02		4	73.0	8006.00	X	3	99.4
8021.00		6	57.2	8015.01		3	78.2	8005.00		1	67.5
8021.00		9	69.1	8015.01		4	60.9	8005.00		2	62.2
8020.00	X	1	87.6	8014.02		1	59.3	8004.00		2	62.8
8020.00		2	86.5	8014.02		4	60.7	8004.00		4	61.5
8020.00	X	3	84.2	8014.01		5	76.5	8004.00		5	67.1
8019.00	X	1	85.5	8014.01		6	79.5	8004.00		6	69.4
8019.00	X	2	85.7	8013.00		1	76.6	8003.00		1	64.9
8019.00	X	3	85.4	8013.00		2	87.8	8003.00		2	54.7
8019.00	X	4	84.6	8013.00		3	70.2	8002.02		1	57.2
8019.00	X	5	88.7	8013.00		5	65.5	8002.01		3	62.2
8019.00	X	8	89.0	8012.00		1	94.1	8002.01		4	53.1
8018.00	X	1	79.0	8012.00		2	86.7	8002.01		6	75.5
8018.00	X	2	75.9	8012.00		3	67.1	8001.00		1	82.9
8018.00	X	3	85.2	8011.02	X	1	64.6	8001.00		2	60.5
8018.00	X	5	78.6	8011.02	X	2	87.1	8001.00		4	76.2
8018.00	X	6	91.0	8011.01		X	88.0	8001.00		5	76.2
Source: HUD CPD								8001.00		8	70.9



HOME and ESG funds were allocated citywide providing persons and/or households assisted who met the eligibly criteria of the applicable program. HOPWA funds were allocated throughout the Springfield Eligible Metropolitan Statistical Area (EMSA), which includes the tri-county area.

NSP funds were allocated within the geographic area designated in 2009 as the City's NSP target area. This area is shown on the map below.



Assessment of Five Year and Annual Goals and Objectives

The five-year Consolidated Plan for the entitlement programs covers the period July 1, 2010-June 30, 2014. The City has completed the second year program covered by the FY10-14 Consolidated Plan. Within each priority area, a brief synopsis of objectives outcomes of the activities in the Consolidated Plan and a report on the accomplishments achieved as of the end of FY 2012 is provided. Further detail about each activity is provided in the Integrated Disbursement and Information System (IDIS) reports included as appendices to this report. The City has incorporated HUD's performance measurement system into its Consolidated Planning Process as detailed below.

A. Background Information: HUD's Performance Measurement System

In order to better quantify the impacts that HUD-funded programs and projects are having on communities, HUD implemented nationwide a performance measurement system to help determine how well programs and activities are meeting established needs and goals. Performance measurement is now a requirement for all federal programs, and performance is a key consideration in program funding decisions.

HUD's Outcome Performance Measurement System contains three main components: Objectives, Outcomes and Indicators. This system tracks the City's progress meeting three objectives. Descriptions of these objectives are excerpted from the CPD Manual and Guidebook below:

1. **Providing Decent Housing.** This objective "covers the wide range of housing activities that are generally undertaken with HOME, CDBG or HOPWA funds. This objective focuses on housing activities whose purpose is to meet individual family or community housing needs. It does not include programs where housing is an element of a larger effort to make community-wide improvements, since such programs would be more appropriately reported under Suitable Living Environments."
2. **Creating Suitable Living Environments.** This second objective is "related to activities that are designed to benefit communities, families, or individuals by addressing issues in their living environment. This objective related to activities that are intended to address a wide range of issues faced by low- and moderate-income persons, from physical problems with their environment, such as poor quality infrastructure, to social issues such as crime prevention, literacy or elderly health services."
3. **Creating Economic Opportunities.** This third and final objective "applies to activities related to economic development, commercial revitalization, or job creation."

The system also establishes the following three **outcomes** to show the anticipated result of the activity:

1. **Availability/Accessibility.** This first outcome "applies to activities that make services, infrastructure, public services, public facilities, housing or shelter available or accessible to

low and moderate-income people, including persons with disabilities. In this category, accessibility does not refer only to physical barriers, but also to making the basics of daily living available and accessible to low- and moderate-income people where they live.”

2. **Affordability.** This outcome “applies to activities that provide affordability in a variety of ways to low- and moderate-income people. It can include the creation or maintenance of affordable housing, basic infrastructure hook-ups, or services such as transportation or day care. Affordability is an appropriate objective whenever an activity is lowering the cost, improving the quality, or increasing the affordability of a product or service to benefit a low-income household.”
3. **Sustainability.** This third and final outcome “applies to activities that are aimed at improving communities or neighborhoods, helping to make them livable or viable by providing benefit to persons of low- and moderate-income or by removing or eliminating slums or blighted areas, through multiple activities or services that sustain communities or neighborhoods.”

The following table overviews the link between objectives and outcomes.

	Availability/ Accessibility (1)	Affordability (2)	Sustainability (3)
Decent Housing (DH)	DH-1	DH-2	DH-3
Suitable Living Environment (SL)	SL-1	SL-2	SL-3
Economic Opportunity (EO)	EO-1	EO-2	EO-3

B. Assessment of Annual and Five Year Goals and Objectives

Within the Annual Action Plan, the City proposes to operate a number of programs to further the goals identified in the Consolidated Plan. This section compares the proposed accomplishments to actual achievements for each activity within the Annual Action Plan in Performance Measurement Objective Tables and in a table that overviews Annual Accomplishments as detailed in the FY 11-2012 Action Plan.

Performance Measurement Objective Tables

Specific Obj. #	Outcome/Objective	Sources of Funds	Performance Indicators	Federal Year	Expected Number	Actual Number	Percent Completed	
DH-1 Availability/Accessibility of Decent Housing								
DH-1.1	Produce affordable rental housing units	HOME	Housing units	2010	5	22	440%	
				2011	5	0	0%	
		Other private		2012	5			
				Other Public	2013	5		
					2014	5		
		MULTI-YEAR GOAL			25	22	88%	
		DH-1.2	Rehabilitate existing multi-family rental housing rehabilitation	HOME	Housing units	2010	20	22
Other private				2011	20	15	75%	
				2012	10			
	Other Public				2013	10		
				2014	10			
MULTI-YEAR GOAL				70	37	53%		
DH-1.3	Preserve affordable housing facing expiring use restrictions			HOME	Housing units	2010	5	0
			2011		5	15	300%	
		Other private		2012	5			
			Other Public		2013	5		
					2014	5		
		MULTI-YEAR GOAL			25	15	60%	
		DH-1.4	Assist homeowners to repair and rehabilitate their homes	HOME	Housing units	2010	15	49
CDBG	2011			15		32	213%	
	2012			15				
	Other Private			2013		15		
2014				15				
MULTI-YEAR GOAL				75	81	108%		
DH-1.5	Increase energy efficiency for existing homeowners			CDBG	Housing units	2010	1200	1331
		Other Public	2011	1200		1299	108%	
			2012	1200				
			2013	1200				
			2014	1200				
		MULTI-YEAR GOAL			6000	2630	43%	
		DH-1.6	Evaluate and eliminate lead based paint hazards	CDBG	Housing units	2010	1000	1040
HOME	2011			1000		1012	101%	
	2012			1000				
	Other Public			2013		1000		
2014				1000				
MULTI-YEAR GOAL				5000	2052	41%		

Specific Obj. #	Outcome/Objective	Sources of Funds	Performance Indicators	Federal Year	Expected Number	Actual Number	Percent Completed
DH-1 Availability/Accessibility of Decent Housing							
DH-1.5	Perform proactive Code Enforcement	CDBG Other Public	Housing units	2010	1000	1175	175%
				2011	1000	3991	399%
				2012	1000		
				2013	1000		
				2014	1000		
			MULTI-YEAR GOAL		5000	5166	103%
DH-1.6	Redevelop blighted properties into homeownership opportunities	HOME NSP CDBG Other public/private	Housing units	2010	10	11	110%
				2011	10	5	50%
				2012	10		
				2013	10		
				2014	10		
			MULTI-YEAR GOAL		50	16	32%
DH-1.7	Acquisition/Disposition of Tax-Title Properties	CDBG Other Public	Housing units	2010	75	199	265%
				2011	75	145	193%
				2012	75		
				2013	75		
				2014	75		
			MULTI-YEAR GOAL		375	344	98%
DH-1.8	Board & Secure: Operation and repair of foreclosed properties	CDBG Other public	Housing units	2010	75	63	84%
				2011	75	145	193%
				2012	75		
				2013	50		
				2014	50		
			MULTI-YEAR GOAL		325	208	64%
DH-1.9	Residential Historic Preservation		Housing units	2010	2	1	50%
				2011	1	1	100%
				2012	1		
				2013	1		
				2014	1		
			MULTI-YEAR GOAL		6	2	33%
DH-1.10	Develop accessible housing units	HOME Other public	Housing units	2010	5	7	80%
				2011	5	15	300%
				2012	5		
				2013	5		
				2014	5		
			MULTI-YEAR GOAL		25	22	88%

Specific Obj. #	Outcome/Objective	Sources of Funds	Performance Indicators	Federal Year	Expected Number	Actual Number	Percent Completed
DH-1 Availability/Accessibility of Decent Housing							
DH-1.11	Ensure sufficient capacity at emergency shelters so individuals can be engaged around housing options <i>* In this category accomplishment data counts individuals more than once.</i>	ESG CDBG Other Public	People served annually	2010	1200	4589	382%
				2011	1000	4283	428%
				2012	900		
				2013	900		
				2014	900		
			MULTI-YEAR GOAL		4900	8872	181%
DH-1.12	Increase range of housing options and related services, including rental assistance, short term subsidies and support services in the tri county area for persons with HIV/AIDS	HOPWA Other Public	Households	2010	382	382	100%
				2011	382	388	102%
				2012	382		
				2013	382		
				2014	382		
			MULTI-YEAR GOAL		1910	770	40%
DH-1.13	Create permanent supportive housing opportunities for chronically homeless individuals and other vulnerable populations	HOME Other public	People	2010	32	32	100%
				2011	8	16	200%
				2012	8		
				2013	8		
				2014	8		
			MULTI-YEAR GOAL		64	48	75%
DH-1.14	Provide tenant-based rental assistance to special needs households in partnership with organizations that can provide supportive services		People	2010	50	85	170%
				2011	50	60	120%
				2012	50		
				2013	50		
				2014	50		
					250	145	58%

Specific Obj. #	Outcome/Objective	Sources of Funds	Performance Indicators	Fed. Year	Expected Number	Actual Number	Percent Completed
DH-2 Affordability of Decent Housing							
DH-2.1	Direct homebuyer down payment assistance	ADDI HOME	Households	2010	100	85	85%
				2011	100	82	82%
				2012	100		
				2013	100		
				2014	100		
			MULTI-YEAR GOAL		500	167	33%
DH-2.2	Homebuyer education/ counseling	CDBG Other private	Households	2010	150	256	171%
				2011	150	92	61%
				2012	150		
				2013	150		
				2014	150		
			MULTI-YEAR GOAL		750	348	46%

Specific Obj. #	Outcome/ Objective	Sources of Funds	Performance Indicators	Fed. Year	Expected Number	Actual Number	Percent Completed
SL-1 Availability/Accessibility of Suitable Living Environment							
SL-1.1	Homelessness prevention and rapid rehousing	ESG HPRP Other public	Households	2010	225	496	220%
				2011	200	140	70%
				2012	200		
				2013	200		
				2014	200		
			MULTI-YEAR GOAL		1025	636	62%
SL-1.2	Provide essential services to assist homeless people to become housed	ESG Other public	Households	2010	300	3422	1140%
				2011	300	3202	1067%
				2012	300		
				2013	300		
				2014	300		
			MULTI-YEAR GOAL		1500	6624	441%
SL-1.3	Employment training	CDBG Other public/ private	People	2010	41	44	107%
				2011	25	62	248%
				2012	25		
				2013	25		
				2014	25		
			MULTI-YEAR GOAL		141	106	75%

Specific Obj. #	Outcome/ Objective	Sources of Funds	Performance Indicators	Fed. Year	Expected Number	Actual Number	Percent Completed
SL-1 Availability/Accessibility of Suitable Living Environment							
SL-1.4	Health services	CDBG	People	2010	0	0	
				2011	25	137	54%
				2012	0		
				2013	0		
				2014	0		
		MULTI-YEAR GOAL		25	137	54%	
SL-1.5	Senior services	CDBG	People	2010	200	309	154%
				2011	200	334	167%
				2012	200		
				2013	200		
				2014	200		
		MULTI-YEAR GOAL		1000	643	64%	
SL-1.6	Childcare Services	CDBG	People	2010	3	3	100%
				2011	2	3	150%
				2012	2		
				2013	2		
				2014	2		
		MULTI-YEAR GOAL		11	6	54%	
SL-1.7	Services for disabled persons	CDBG	People	2010	120	124	103%
				2011	100	113	113%
				2012	100		
				2013	100		
				2014	100		
		MULTI-YEAR GOAL		520	237	22%	
SL-1.8	Fair Housing	CDBG	People	2010	150	363	242%
				2011	150	496	330%
				2012	150		
				2013	150		
				2014	150		
		MULTI-YEAR GOAL		750	859	114%	

Specific Obj. #	Outcome/ Objective	Sources of Funds	Performance Indicators	Year	Expected Number	Actual Number	Percent Completed
SL-1 Availability/Accessibility of Suitable Living Environment							
SL-1.9	Youth Services	CDBG Other public/ private	People	2010	2545	4628	181%
				2011	2500	4087	163%
				2012	2500		
				2013	2500		
				2014	2500		
			MULTI-YEAR GOAL		12,545	8715	70%
SL-1.10	Battered & abused spouses	CDBG/ ESG public private	People	2010	0		
				2011	100	103	103%
				2012	100		
				2013	100		
				2014	100		
			MULTI-YEAR GOAL		400	103	26%
SL-1.11	Public service general	CDBG Other public/ private	People	2010	385	1289	334%
				2011	300	967	322%
				2012	300		
				2013	350		
				2014	350		
			MULTI-YEAR GOAL		1685	2256	133%
SL-1.12	Mental Health Services	CDBG Other public/ private	People	2010	0		
				2011	120	146	121%
				2012	120		
				2013	120		
				2014	120		
			MULTI-YEAR GOAL		480	146	31%
SL-1.13	Substance Abuse Services	CDBG Other public/ private	People	2010	100	45	45%
				2011	125	213	170%
				2012	100		
				2013	100		
				2014	100		
			MULTI-YEAR GOAL		525	258	049%
SL-1.14	CDBG Non-profit Organization Capacity Building	CDBG	Organization	2010	10	10	100%
				2011	10	10	100%
				2012	10		
				2013	10		
				2014	10		
			MULTI-YEAR GOAL		50	20	40%

Specific Obj. #	Outcome/ Objectives	Sources of Funds	Performance Indicators	Fed. Year	Expected Number	Actual Number	Percent Completed
SL-3 Sustainability of Suitable Living Environment							
SL-3.1	Parks, Recreational Facilities	CDBG Other Public/ Private	Public Facilities	2010	4	2	50%
				2011	4	2	50%
				2012	4		
				2013	4		
				2014	4		
			MULTI-YEAR GOAL		20	4	20%
SL-3.2	Street Improvements		People	2010	5000	5098	101%
				2011	5000	3177	64%
				2012	5000		
				2013	5000		
				2014	5000		
			MULTI-YEAR GOAL		25,000	8275	33%
SL-3.3	Sidewalks		People	2010	5000	14,342	286%
				2011	5000	14,846	296%
				2012	5000		
				2013	5000		
				2014	5000		
			MULTI-YEAR GOAL		25,000	29,188	116%
SL-3.4	Urban Reforestation	Other Funds	Units	2010	100	121	121%
				2011	100	900	0
				2012	100		
				2013	100		
				2014	100		
			MULTI-YEAR GOAL		500	1021	204%
SL-3.5	Demolition of distressed buildings	CDBG Other public	Housing Units	2010	40	55	138%
				2011	40	15	38%
				2012	40		
				2013	40		
				2014	40		
			MULTI-YEAR GOAL		180	70	39%

Specific Obj. #	Outcome/ Objective	Sources of Funds	Performance Indicators	Fed. Year	Expected Number	Actual Number	Percent Completed
SL-3 Availability/Accessibility of Suitable Living Environment							
SL-3.6	Graffiti removal	CDBG	Businesses	2010	100	149	149%
		Other public		2011	100	145	145%
				2012	100		
				2013	100		
				2014	100		
			MULTI-YEAR GOAL		500	294	58%
SL-3.7	Vacant Lot Cleanup	CDBG	Units	2010	250	263	105%
		Other public		2011	250	144	57%
				2012	250		
				2013	250		
				2014	250		
			MULTI-YEAR GOAL		1250	407	32%
SL-3.8	Interim Lot Greening	CDBG	Units	2010	1	2	200%
		Other public		2011	1	1	100%
				2012	1		
				2013	1		
				2014	1		
			MULTI-YEAR GOAL		5	3	60%

Specific Obj. #	Outcome/ Objective	Sources of Funds	Performance Indicators	Fed. Year	Expected Number	Actual Number	Percent Completed
EO-1 Availability/Accessibility of Economic Opportunity							
EO-1.1	Cleanup of Contaminated Sites		Jobs	2010			
				2011			
				2012			
				2013			
				2014			
			MULTI-YEAR GOAL				
EO-1.2	Relocation		Businesses	2010			
				2011		5	
				2012			
				2013			
				2014			
			MULTI-YEAR GOAL				
EO-1.3	CI Land Acquisition		Businesses	2010	3	0	
				2011	3		
				2012	3		
				2013	3		
				2014	3		
			MULTI-YEAR GOAL		15	0	
EO-1.4	CI Infrastructure Development		Feet of Public Utilities	2010			
				2011			
				2012			
				2013			
				2014			
			MULTI-YEAR GOAL				
EO-1.5	CI Building Acquisition, Construction, Rehabilitation		Jobs	2010			
				2011			
				2012			
				2013			
				2014			
			MULTI-YEAR GOAL				
EO-1.6	Direct Financial Assistance to For Profits		Businesses	2010	10	10	100%
				2011	15	14	93%
				2012			
				2013			
				2014			
			MULTI-YEAR GOAL		25	24	96%

Specific Obj. #	Outcome/Objective	Sources of Funds	Performance Indicators	Fed. Year	Expected Number	Actual Number	Percent Completed
EO-1 Availability/Accessibility of Economic Opportunity							
EO-1.7	ED Technical Assistance		Businesses	2010	10	10	100%
				2011	10	14	140%
				2012	10		
				2013	10		
				2014	10		
			MULTI-YEAR GOAL		50	24	48%
			Jobs	2010	10	6	60%
				2011	10	10	100%
				2012	10		
				2013	10		
				2014	10		
			MULTI-YEAR GOAL		50	16	32%
EO-1.8	Micro-Enterprise Assistance		Jobs	2010	2	2	100%
				2011	2	2	100%
				2012	2		
				2013	2		
				2014	2		
			MULTI-YEAR GOAL		10	4	40%
			Businesses	2010	5	7	14%
				2011	5	2	40%
				2012	5		
				2013	5		
				2014	5		
			MULTI-YEAR GOAL		25	9	36%
EO-1.9	Clearance and Demolition		Housing Units	2010	200	326	163%
				2011	40	159	397%
				2012	40		
				2013	20		
				2014	20		
			MULTI-YEAR GOAL		320	485	151%

Assessment of Annual Goals and Objectives

Within the Annual Action Plan, the City proposes to operate a number of programs to further the goals identified in the Consolidated Plan. This section compares the proposed accomplishments to actual achievements for each activity within the Annual Action Plan. Additional detail about each accomplishment is provided in the IDIS Reports included as appendices to this document.

Project No.	Obj. No.	Project Name	Accomplishment	
			Proposed	Actual
1	N/A	HOME Administration	N/A	N/A
2	DH-2	First Time Homebuyer Financial Assistance	100 Households	82 Households
3	DH-1	Tenant Based Rental Assistance (TBRA)	50 Households	60 Households
4	DH-1	Project Based Homeownership-CHDO	4 Housing Units	2 units
5	DH-1	Project Based Homeownership-NON CHDO	1 Housing Unit	2 units
6	DH-1	Rental Production	10 Housing Units	15 units
7	N/A	ESG Administration	N/A	N/A
8	DH-1	ESG Homeless Shelter Operations	1200 People	3202
9	SL-1	ESG Homeless Essential Services	300 People	3202
10	SL-1	ESG Homeless Prevention	200 People	134
11	N/A	HOPWA Planning & Administration	N/A	N/A
12	N/A	HOPWA Project Sponsor Administration	N/A	N/A
13	DH-1	HOPWA-Non Homeless Special Needs	340 Households	388 Households
14	EO-1	Economic Development Program Delivery	1 Job	2 Jobs
15	EO-1	Business Development- Economic Development Programs	3 Jobs	Underway
16	EO-1	Workforce Development Job Training Programs-Smith & Wesson-Tooling U Program	3 Jobs	Underway
17	EO-1	Workforce Development –Healthcare Job Training-MCDI	2 Jobs/10 People	2 Jobs/10 People
18	EO-1	Indian Motorcycle Redevelopment	1 Public Facility	Underway
19	DH-1	Lead Abatement	15 Housing Units	17 Housing Units
20	DH-1	Existing Homeowner Rehab-Emergency Repairs	15 Housing Units	9 Housing Units
21	DH-1	HEARTWAP Program	1200 Housing Units	1299 Housing Units
22	DH-1	Housing Program Delivery-Rehabilitation	15 Households	7 Households
23	DH-1	Housing Program Delivery-Direct Homeownership Assistance	100 Households	82 Households
24	SL-1	Historic Restoration-Rehab Blight	3 Housing Units	2 Housing Units
25	DH-1	Home Retention & Revitalization-Rebuilding Together	25 Housing Units	23 Housing Units
26	SL-3	Clearance & Demolition Program Delivery	200 Housing Units	159 Housing Units
27	SL-3	Bond Payment	1 Public Facility	1 Public Facility
28	SL-3	Demo of Vacant/Abandon Properties	30 Housing Units	15 Housing Units
29	DH-1	Acquisition/Disposition	75 Housing Units	143 Housing Units
30	DH-3	Targeted Code Enforcement- Street	2000 Housing	3991 Housing

		Sweeps	Units	Units
31	N/A	CDBG Planning & Administration	N/A	N/A
32	SL-3	Park Reconstruction		
-----	SL-3	Myrtle Street Park	1 Park	Completed
-----	SL-3	Emerson Wight	1 Park	Completed
-----	SL-3	Splash Pads-Spray Structures	1	Completed
33	SL-1	Public Improvements-Streets/Sidewalks	10,000 People	18,023 People
34	EO-3	Public Facilities-Rehabilitation Non-Profits	9 Public Facilities	6 Public Facilities/1 Underway
35	SL-1	Neighborhood Capacity Building	10 Organizations	10 Organizations
36	SL-3	Graffiti Removal	25 Businesses	145 Businesses
37	SL-1	Human Capital-Public Service	5421 People	7523 People
-----	SL-1	5A	200 People	153 People
-----	SL-1	W.E.B. Dubois Academy-Black Men of Greater Springfield	30 People	78 People
-----	SL-1	Boys Scouts of America	30 People	45 People
-----	SL-1	Caring Health Center	200 People	137 People
-----	SL-1	Teen Pregnancy Prevention Program-Dunbar YMCA Family Center	25 People	86 People
-----	SL-1	Open Pools/Recreation Program	1000 People	1419 People
-----	SL-1	Council of Churches of Greater Springfield-Fuel Assistance Program	100 People/52 Families	56 Families/155 People
-----	SL-1	Hungry Hill Senior Center	100 People	145 People
-----	SL-1	Mass Fair Housing Center-Fair Housing Project	200 People	496 People
-----	SL-1	Forest Park Zoological Society-Zoo Camp	25 People	20 People
-----	SL-1	Worthington Street Shelter-Friends of the Homeless	1000 People	1081 People
-----	SL-1	Greater New Life Christian Center- Youth Empowerment Services	30 People	24 People
-----	SL-1	Greater New Life Christian Center-New Life Center for Recovery	25 People	45 People
-----	SL-1	Youth Education & Enrichment-Martin Luther King Community Center	50 People	106 People
-----	SL-1	MCDI-Precision Manufacturing	10 People/2 Jobs	16 People/2 Jobs
-----	SL-1	Camp Star/Camp Angelina	120 People	113 People
-----	SL-1	Pine Point Senior Center	100 People	189 People
-----	SL-1	ROCA-Intervention Model for High Risk	50 People	80 People
-----	SL-1	Russian Community Association	75 People	81 People
-----	SL-1	Salvation Army-Bridging the Gap	125 People	135 People
-----	SL-1	South End Community Center-Summer Activities	30 People	63 People
-----	SL-1	Springfield Boys & Girls Club-Indian Orchard Unit	75 People	142 People
-----	SL-1	Springfield Boys & Girls Club-Summer Youth Development	35 People	35 People
-----	SL-1	Springfield College- Literacy Awards	500 People	518 People
-----	SL-1	Springfield Girls Club Family Center	50 People	44 People

-----	SL-1	Springfield Housing Authority-GED Program	15 People	36 People
-----	SL-1	Springfield Vietnamese American Civic Association- Housing Empowerment Program (HOME)	60 People	152 People
-----	SL-1	Springfield Vietnamese American Civic Association- Family Empowerment Program	30 People	70 People
-----	SL-1	Square One-Early Education & Child Care For At-Risk Youth	3 People	3 People
-----	SL-1	Square One-Fitness & Healthy Living Clinics	500 People	944 People
-----	SL-1	The Gray House-Community Education Support (CES)	75 People	102 People
-----	SL-1	Urban League-Urban Achievement	25 People	26 People
-----	SL-1	YMCA-Safe Summer Streets	40 People	51People
-----	SL-1	YWCA-Youth Build	28 People	31 People
-----	SL-1	New North Citizens 'Council-Recovery Engagement	100 People	213 People
-----	SL-1	New North Citizens' Council-Summer Fun & Learning	50 People	35 People
-----	SL-1	New North Citizens' Council-Homeless Prevention	200 People	243 People
-----	SL-1	New North Citizens' Council-Underground Youth Network	50 People	93 People
-----	SL-1	New North Citizens' Council-ESOL	60 People	118 People

Multi-Year Activities

As part of the City's work to track projects that have been in progress for more than one year, the City has developed the following status of multi-year projects that are currently listed as activities in IDIS. Further details about multi-year activities funded through CDBG are reported in IDIS, HUD's database system.

Multi **Redevelopment of the Springfield Riverfront.** Completed and opened in September 2002, the Naismith Memorial Basketball Hall of Fame is the key element in the City of Springfield's Riverfront Development Plan. In March, 2008 the Rivers Landing complex opened in the former Basketball Hall of Fame on the Riverfront, featuring a 60,000 square foot LA Fitness Center and Onyx Restaurant & Fusion Bar. This complex represents over \$15 million worth of private investment with no public subsidies. The City completed the relocation of the William Sullivan Visitors Information Center to the Basketball Hall of Fame complex. The move allowed the 4,100 square foot former VIC building on the Riverfront to be available for reuse or sale. The Springfield Redevelopment Authority disposed of the property through a Request for Proposals process with the planned reuse to be a location of a Providence, RI based restaurant chain. That restaurant is expected to be open by

January 1, 2013 and will represent over 40 new jobs and nearly \$2 million in investment.

Other multi-year projects include:

Court Square Redevelopment

In July, 2011, the Springfield Redevelopment Authority (SRA) named OPAL Real Estate as preferred developer for Court Square – a pair of significant historic buildings on Springfield’s Court Square park, just across from Springfield City Hall. OPAL is led by President Peter Picknelly, owner of the Springfield based Peter Pan Bus Lines. OPAL plans a complete historic rehabilitation of the building included retail, office, and residential uses. The company has completed a significant amount of due diligence in the last year and is in the final stages of predevelopment. Ground breaking is expected in 2013.

Union Station Rehabilitation Project

The Union Station rehabilitation project is slated to involve the rehabilitation and conversion of Union Station into an inter-modal transportation facility with ancillary uses that will support the station project. This facility will be the hub for bus, rail, and freight transportation services for Western New England. The Springfield Redevelopment Authority has now taken on the lead development role in the project and has been designated a direct recipient of federal FTA funding. The SRA has hired an Owners Project Manager as well as a designer for the project, and initial demolition work is expected to begin in fall of 2012. The project is expected to be completed in late 2014. The redevelopment of Union Station will be a major catalyst for the redevelopment of the North Block of the City’s downtown.

This North Blocks is also highlighted by a recent Section 108 loan via HUD for the redevelopment of the former Holiday Inn Hotel, slated to be redeveloped to a La Quinta Inn & Suites. That project is in mid construction and expected to be complete by October, 2012.

South End Project

The South End was noted by the 2006 Urban Land Institute citywide report as the top priority neighborhood in the City. The City has since completed an initial phase of revitalization, a \$10 million project that focused on infrastructure improvements on the Hollywood district, Main Street, and the Gemini site. Funds for this phase have included city bond of \$6.6 million, a \$1.1 million CDBG commitment and \$3.0 million of grant applications. The funding has been used to construct new streets and sidewalks, create new open space connections and connect the neighborhood more effectively to Main Street.

Construction of South End Main Street was completed in 2010. The public improvements have helped spur private development including an office development on Arlington Court.

The City has completed the acquisition and demolition of nine homes as part of the expansion of Emerson Wight Park. Park improvements began in late 2011 and have been recently completed with the park grand opening happening in July, 2012. Also underway is the redevelopment of Dwight Street Extension via a Commonwealth of Massachusetts “Massworks” grant, which is being done to coincide with the private redevelopment of historic apartment buildings in the Hollywood neighborhood. The City has committed \$1.5 million in HOME funds for

redevelopment of the 22 apartment buildings in the Hollywood section. The first phase of this three-phase redevelopment project is underway.

The City and the Springfield Housing Authority were awarded a Choice Neighborhoods planning grant in January 2012 to address demolition of the Marble Street apartments, introduction of market rate housing into the neighborhood, and increased opportunities for education and employment for neighborhood residents.

Indian Motorcycle Building

The City of Springfield and Massachusetts Housing Finance Agency, MassHousing, issued a request for Proposals for the disposition and redevelopment of Indian Motorcycle “A” (owned by MassHousing) and Indian Motorcycle “B” (owned by the City) and the Mason Square Fire Station (owned by the City), located on State Street. Through that process American International College was named the preferred developer and for the past two years has been advancing the project through a variety of due diligence activities including environmental, tax credit and development analysis. AIC is contemplating reuses to include residential, retail and limited office space and expects to break ground in 2013.

The Redevelopment Project site includes five separate parcels situated on 3.7 acres at a high point on the State Street Corridor overlooking the City to the west of Mason Square. The 3.2 mile-long State Street Corridor recently completed an \$18 million restoration project, including roadway reconstruction, intersection improvements, new sidewalks and median strips and many new pedestrian and vehicle amenities.

Narrative and Financial Summary by Program

The City has completed the second year covered by the current Consolidated Plan.

The analysis contained within this CAPER demonstrates that within most program areas the City has already met the goals described. Where results have not been achieved, the analysis provides guidance for the City in the remaining year.

A. CDBG Narratives

In order to comply with the reporting requirements laid out in the CDBG regulations, the City utilizes this CDBG Narrative section to incorporate CDBG-specific information into the CAPER that is not easily included in the Five Year and Annual Report sections included above. This section is broken into the following four components:

- A. **FY 11-2012 CDBG Expenditures Breakdown by Category (commences on pg 27)**
- B. **Required narratives pertaining to the administration of the CDBG program (pg. 28)**
- C. **Status Report on Neighborhood Revitalization Strategy Area (NRSA) (pg. 36)**

A. **FY 11-2012 CDBG Expenditures Breakdown by Category**

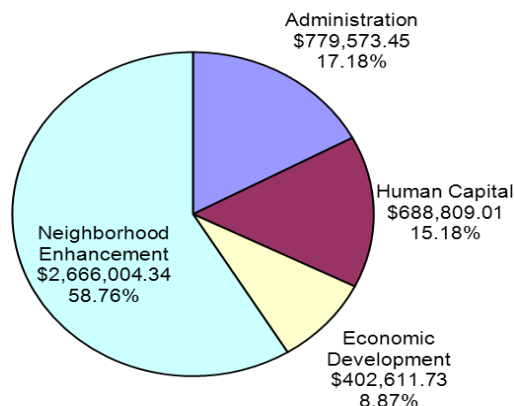
In FY 11-2012, the City's CDBG allocation was \$4,367,871.00. During this fiscal year the City expended \$4,536,998.53 of CDBG entitlement funding.

The following pie chart codifies these expenditures into the three major categories—Human Capital, Neighborhood Enhancement and Economic Development—plus Administration. These categories line up with the priorities, needs, goals, and specific objectives identified in the Consolidated Plan and the FY 11-2012 Action Plan.

FY 11-2012 CDBG Expenditures by Category

Total Expended: \$ 4,536,998.53

Priority Categories



B. Required narratives pertaining to the administration of the CDBG program.

Nature and Reason for any Changes in Program Objectives

The City amended the FY08-09 Action Plan three times to reflect additional funding from HUD. Amendment one was for the Neighborhood Stabilization Program (NSP) for \$2,566,272 with the State awarding an additional \$1,000,000 for the program. The second amendment increased the Action Plan by \$1,700,802 for the Homeless Prevention and Rapid Re-housing Program (HPRP). The third amendment was for Community Development Block Grant Recovery Funds (CDBG-R) for \$1,111,756. All three multi-year amendments were submitted and approved by HUD.

The City amended the FY10-11 Action Plan to reflect the award of NSP3 funding in the amount of \$1,197,000. The amendment was submitted to and approved by HUD.

The City amended the FY11-12 Action Plan to reflect a second allocation of ESG funding in the amount of \$101,208. The amendment was submitted to and approved by HUD.

Certification Narrative/Plan Implementation

The City strongly supports the receipt of assistance by various organizations regarding the furtherance of the Consolidated Plan goals. The City views these organizations as our partners. During the course of the year, the City provided certification for numerous programs including those for funding applications for the Springfield Housing Authority and the New North Citizens Council. The City of Springfield did not hinder the implementation of the Action Plan by action or willful inaction. The City of Springfield pursued all resources it indicated it would. A summary of leveraged resources is located in the table starting on page 78.

Compliance with National Objective

During FY11-12 the City used its CDBG funds exclusively for the benefit of low and/or moderate income persons or to eliminate or prevent slum and blight. Of funding expended, 89.35 percent was directed toward low and/or moderate income persons.

During the FY 11-2012 program year, extremely low income, low income and moderate income persons were served by CDBG-funded activities. A summary of accomplishment for activities that require a determination of income by family to determine the eligibility of the activity is provided on the following table. These accomplishments are for Program Year 2011 (FY 11-2012). Summary of Accomplishments based on the PR23 report in the HUD database system.

NON-HOUSING: CDBG BENEFICIARIES BY RACIAL/ETHNIC CATEGORY

White	4,190	1,036	0	0
Black/African American	3,573	148	0	0
Asian	749	5	0	0
American Indian/Alaskan Native	41	0	0	0
Native Hawaiian/Other Pacific Islander	35	1	0	0
American Indian/Alaskan Native & White	10	0	0	0
Asian & White	42	4	0	0
Black/African American & White	225	4	0	0
American Indian/Alaskan Native & Black/African	22	3	0	0
Other Multi Racial	6,295	4,267	0	0
Total	15,182	5,468	0	0

CDBG BENEFICIARIES BY INCOME CATEGORY

Category	Type	Income Category				Total
		Extremely Low Income	Low Income	Moderate Income	Total LMI	
Housing – Owner Occupied	Households	946	354	75	1375	1378
Housing – Rental Occupied	Households	11	4	2	17	17
Housing Total	Households	957	358	77	1392	1395
Non-Housing	Persons	2786	806	7628	7628	7628
	Households	0	0	0	0	0
Total	Persons	2786	806	7628	7628	7628

Relocation Narrative

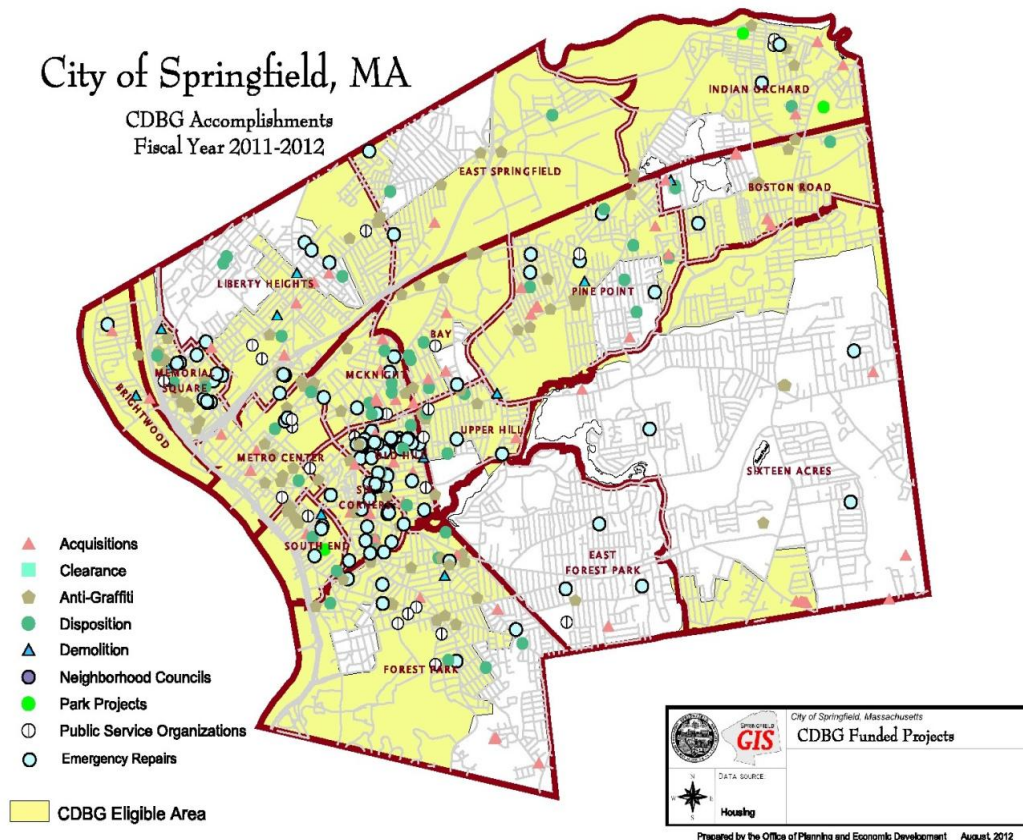
The City of Springfield ensures proper relocation for all revitalization projects. For economic development projects resulting from implementation of urban renewal plans, the City through its redevelopment authority uses a private qualified consultant. For housing projects, the City's Office of Housing oversees and monitors project developer compliance with the Uniform Relocation Act. No housing initiatives resulted in permanent displacement.

Limited Clientele Narrative

Programs funded by CDBG are required to demonstrate that their activities are serving low to moderate income persons/households. The City utilizes presumed benefit from some public service programs that serve hard-to-reach sub-populations and/or are located in qualified census tracts. In those special circumstances, the City, prior to funding, considers who the targeted beneficiaries are intended to be, the nature of the program, and its location. This evaluation must result in the determination that at least 51% of the intended beneficiaries will be low and moderate income persons.

Program Income Narrative

During the course of the year, the City realized \$202,086.42 in CDBG program income and \$157,265.89 in HOME program income. Program Income funds are utilized to operate programs identified in the Action Plan. A summary of realized program income and its utilization is contained within the Financial Summary on page 100 for CDBG and 82 for HOME.



NEIGHBORHOOD REVITALIZATION STRATEGY AREA

The City of Springfield continues its focus on fundamentally changing the urban neighborhoods that are located within the NRSAs. These communities are home to some of the City's poorest residents and have a wealth of ethnic diversity. The residents, businesses owners, and key stakeholders within the NRSA are dynamic, diverse, and eager for positive change and new investment.

The premise of a NRSA is that a concentrated investment of resources in a limited impact area can have a substantial impact for a targeted revitalization area. Springfield's strategy for these areas hinges on a coordinated marshaling of resources, including those of federal, state and local governments; the private sector; community organizations; and neighborhood residents.

Springfield's NRSA initiatives started in 2005 with initial planning, investment in capacity, and identification of partners and resources. As a result, revitalization has been taking place at a steady rate since NRSA designation, but many major initiatives were started in 2008 or 2009, and are still ongoing. In addition, success in the NRSAs has been handicapped by the down-turn in the housing market. These neighborhoods have been very hard-hit by foreclosures, and now have significant numbers of vacant and abandoned homes and blighted commercial structures. Continued investment in these neighborhoods has the potential to take advantage of redevelopment of these properties, would build on the work that that has been initiated, and would support the City's overall efforts to attract private investment.

Specific objectives and strategies for each of the NRSAs are below. Many of these are subsets of goals otherwise set forth in this plan, demonstrating an intention to focus some programs specifically in the NRSAs.

Specific NRSA Objectives

THE SOUTH END

Just prior to the beginning of the past fiscal year, on June 1, 2011, the South End neighborhood was hard hit by a tornado, which temporarily set the City back in some of its efforts regarding this neighborhood, but also provides opportunity to bring new focus and resources to the South End. The beginning of the current fiscal year was spent on recovery and some rebuilding. In addition, the City undertook a master planning process for rebuilding the tornado-damaged areas; the plan was released in April 2012. A significant emphasis of the plan is the South End and its intersection with downtown Springfield. The process was led by Concordia, Inc., a planning and architectural firm that has had a significant role in the rebuilding of New Orleans and the Gulf Coast after Hurricane Katrina. The planning and redevelopment activities are being overseen by the Springfield Redevelopment Authority and the non-profit DevelopSpringfield.

Objective 1. Attract and retain business on Main Street.

The City assisted South End businesses to find temporary locations nearby in the City following the tornado, and will continue to work with these displaced businesses to help them relocate in the neighborhood.

There was direct contact with 57 businesses in which assistance was provided with a variety of needs including debris removal, referrals to the Small Business Association, DPW notice of street closings for insurance companies, and temporary signage for businesses re-opening after tornado.

- 42 of the businesses re-opened in their existing location.
- 8 businesses had to re-locate to different location (temporarily or permanently).
- 7 businesses closed.

The City provided 2 storefront improvement grants to South End Main Street businesses; Mt. Carmel Society and Mercolino's Bakery.

The city is a significant funder to the DevelopSpringfield Corridor Storefront Improvement Program, which offers funding for storefront projects along Main and State Streets. The program funded City Vacuum, Milano's Importing, Buckeyes and Dave's Furniture located in the South End.

Objective 2. Increase income diversity by providing new housing ownership opportunities.

Through the use of Neighborhood Stabilization funds, affordable homeownership units have been developed with construction of one new home that has been completed and is for sale and a second home that is still under construction.

The City and the Springfield Housing Authority were awarded a Choice Neighborhoods Planning Grant for the South End, and one of the major goals of the South End Choice Neighborhoods initiative will be introduction of homeownership units. The Choice Neighborhoods Initiative planning will begin in spring 2012. The City expects to submit an application to HUD for a Choice Neighborhoods Implementation Grant in the spring of 2013.

Objective 3. Improve appearance and appeal of existing apartment buildings.

The City has committed HOME funds for the rehabilitation of the 22 apartment buildings that make up the South End's Hollywood section; the first phase of is under construction. The City has also committed HOME funds to Center City Housing to repair and renovate two multi-family apartment buildings in the South End that were damaged by the tornado (71 Adams St. and 22-24 Winthrop St.). The work, expected to begin in 2013, will include significant energy upgrades and improvements.

The City has obtained funding for the redesign and redevelopment of Dwight Street Extension, the roadway that goes through the Hollywood section and is the gateway to Emerson Wight Park. This project is scheduled for projected completion by end of the next fiscal year.

Objective 4. Increase the visibility and safety of Emerson Wight Park.

The expansion and complete rehabilitation of Emerson Wight Park has been completed.

Objective 5. Improve opportunities and support for neighborhood residents.

The City opened a new neighborhood middle school in the South End in the fall of 2011. The Veritas School, a charter middle school with an emphasis on academic excellence also opened in the South End. A second charter school, which would serve students K-8, has been proposed for the neighborhood.

Caring Health Center is using New Market Tax Credits to significantly expand its community-based health center. Caring Health completed its financing package this year and is scheduled to begin development in fall 2012.

The Choice Neighborhoods planning process has a significant focus on education and employment programming in the neighborhood.

The Springfield Housing Authority assisted residents of the Marble Street Apartments to start an active tenants' council; the council is active in the Choice Neighborhoods planning process and is looking to collaborate with the existing South End Citizens Council.

The City provided two South End homeowners with funds for home repairs.

Objective 6. Increase public safety.

The Springfield Police Department has initiated a targeted operation to address prostitution and drug trafficking in the South End.

The City has applied for a Byrne grant from the Department of Justice, which would provide funds to replicate in the South End a very effective policing model that is being used in the City's North End Neighborhood. If funded, the South End C3 initiative will be a collaboration between the Springfield Police Department, the state police, Attorney General's office, and multiple city departments and neighborhood partners.

The City continues aggressive code and court action against blighted properties in the neighborhood. In this fiscal year, the City demolished 2 buildings, cleared 4 properties, acquired 4 properties, and disposed of 2 properties to responsible owners. The City has obtained four more court orders or agreements allowing building to be demolished—these demolitions will take place in the upcoming year.

The City initiated a receivership action on one 3-unit property in the South End.

THE OLD HILL/SIX CORNERS NRSA

Six Corners and Old Hill also sustained significant damage in the June 1 tornado, and, like the South End, was the focus of recovery efforts and a Master Plan Rebuilding process. Accomplishments undertaken in these neighborhoods in the past year include the following:

Objective 2. Improve appearance of the Central Street Corridor.

The Central Street Corridor was extremely hard hit by the tornado, and multiple buildings on the street were demolished in the immediate aftermath or during the months of clean-up. The street is significantly transformed, and presents an opportunity for new housing development that the City expects to pursue in the upcoming year.

Over the last several years, with HOME funds, the City has supported construction of six new single-family homes on adjacent lots on Central Street. Fortunately, these homes were not destroyed by the tornado. All six homes have been completed, and all have been sold to eligible homeowners.

The completed master plan calls for significant roadway improvement and reconfiguration of two intersections in these neighborhoods. The City is in the initial planning stage for these improvements, and is seeking grant funding to advance these projects

Objective 3. Increase income diversity by providing new housing ownership opportunities.

With a combination of NSP and HOME funds, the City created 4 new homeownership opportunities by new redevelopment or rehabilitation of residential properties throughout the neighborhood, and has another 15 homes under development.

The City promoted homeownership in the neighborhood by providing downpayment assistance to 4 homeowners purchasing in the neighborhood.

Objective 4. Assist existing homeowners to preserve their housing and stay in the neighborhood.

With CDBG funding, Rebuilding Together provided home rehabilitation services to 14 homeowners in Old Hill and Six Corners. The City continued to provide neighborhood-level outreach and information regarding the City's assistance programs.

Objective 5. Increase public safety.

The City demolished 4 blighted structures in the neighborhood this year. The City has cleaned 33 vacant and abandoned lots in the neighborhood through its clean and lien' program. The City has initiated receivership actions on two properties in Six Corners/Old Hill.

The City has initiated an abutter lot auction program, in order to sell vacant lots to abutters to be combined with their properties and maintained by a responsible owner.

Within the past year, the City has acquired 11 properties in the neighborhood, and has conveyed 12 neighborhood properties to responsible owners.

Objective 6. Improve the physical attractiveness of the neighborhood.

The June 1 tornado caused extensive devastation on Hickory Street, including damage to an elementary school and two subsidized housing complexes. The City is working with all parties

involved for a comprehensive redevelopment of this whole area, which will begin in 2013-14 with the building of a new elementary school. The City is working with the community to ensure that the new school is created as a community school.

The City undertook a great deal of cleaning of tree and brush damage from this neighborhood following the tornado. The City has worked closely with FEMA in order to demolish damaged abandoned buildings in the neighborhood, and expects these demolitions to be completed early in the next fiscal year.

MEMORIAL SQUARE/BRIGHTWOOD NRSA

Objective 1. Revitalize the Main Street retail/commercial corridor.

The Mass Highway Project, which addresses Main Street in the North End, is underway. This includes street, sidewalk and streetscape improvements.

The City provided storefront improvement grants to Majestic Barber Shop and Lily's market located in Memorial Square.

Objective 2. Provide training to assist neighborhood residents to obtain living wage jobs, particularly jobs expected to be created as a result of the Baystate Hospital expansion.

MCDI and Red Cross are currently running a Health Care Job Training Program targeting workforce development in the North End.

Objective 3. Increase income diversity by providing new housing ownership opportunities.

The City created two new infill homeownership opportunities on vacant lots in the neighborhood, and has one project planned for next year. The City continued to promote neighborhood homeownership through the Buy Springfield Now campaign and promotion of the Baystate employee assistance program.

Objective 4. Assist existing homeowners to preserve their housing and stay in the neighborhood.

With CDBG funding, Rebuilding Together provided home rehabilitation services to one homeowner in Memorial Square.

Objective 5. Improve neighborhood facilities.

The City continues to assist New North Citizens' Council in development of a new facility, and demolition of the existing building. The City continues to assist in the repurposing the Greek Cultural Center facility.

Objective 6. Improve the physical attractiveness of the neighborhood.

The City continues to clear abandoned and vacant property. Thirteen properties have been cleaned up /boarded up in the Brightwood /Memorial Square Neighborhoods. The City has obtained court orders allowing demolition of 5 blighted structures (12 Sheldon St., 528-530 Plainfield, 46 Washburn, 32-34 Merwin, and 15 E. Hooker). The City initiated receivership of two properties in the North End.

Objective 7. Improve appearance and appeal of existing apartment buildings.

The City provided funding this year to complete the rehabilitation of Borinquen Apartments (76 units) and Cumberland Homes (76 units). The City has committed HOME funds for the rehabilitation of the Memorial Square apartment building.

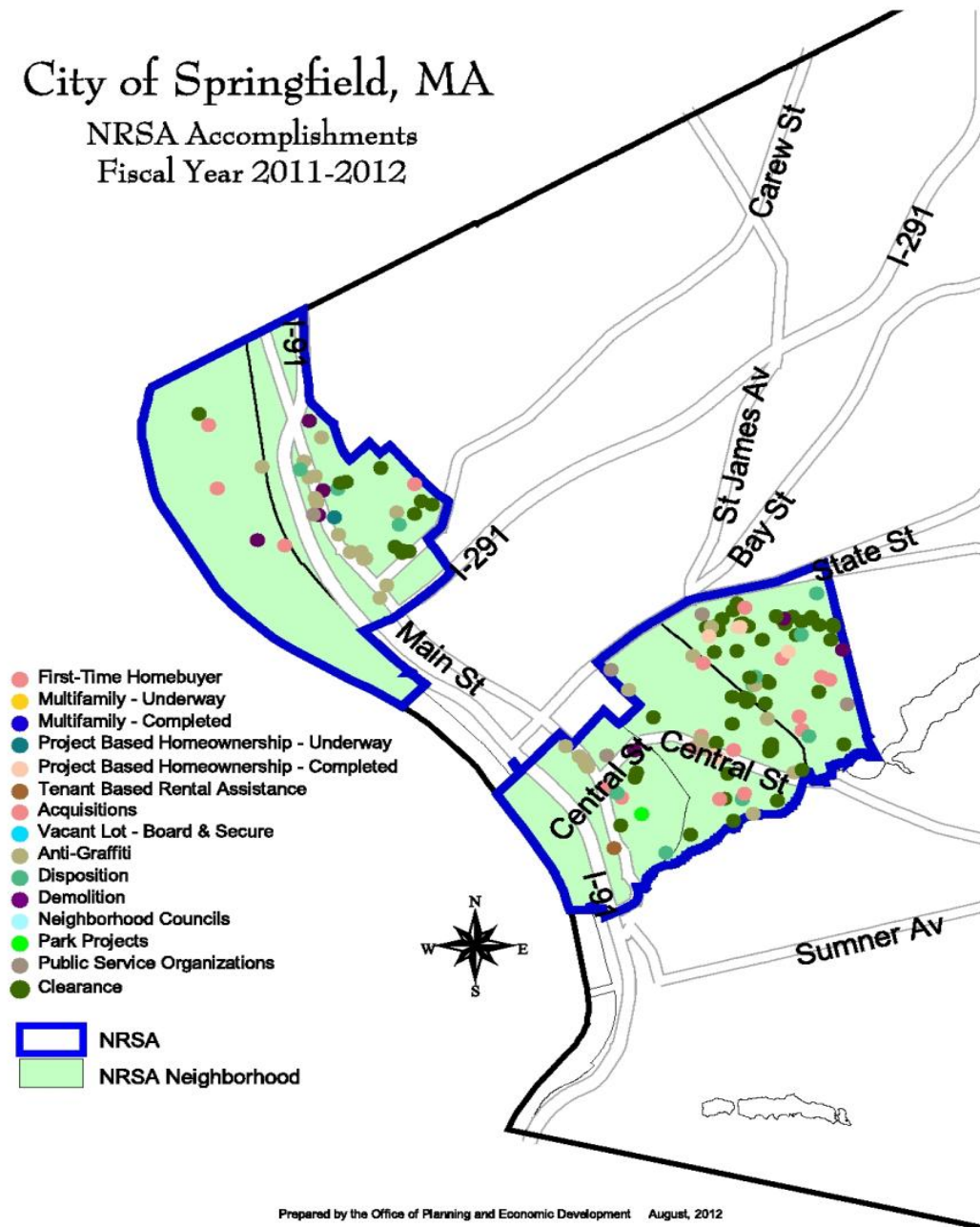
The following chart shows the annual performance goals for each of the NRSA activities. Many of these are subsets of goals otherwise set forth in this plan.

NRSA Activity	Accomplishment Type	Year 1	Year 1 actual	Year 2	Year 2 actual	Year 3	Year 4	Year 5	Total Goal	Fund Source: CDBG, Other
Eco Dev Direct Assistance to For-Profits	Businesses	3	5	3	5	3	3	3	15	CDBG, Other
Eco Dev Technical Assistance	Businesses	2	21	2	12	2	2	2	10	CDBG, Other
Micro-Enterprise Assistance	Businesses	3	2	3	2	3	3	3	15	CDBG, Other
Employment Training	People	27	2	25	5	25	25	25	127	CDBG, Other
Street Improvements/Sidewalks	People	5000	4849	5000	3884	5000	5000	5000	25,000	CDBG, Other
Park Reconstruction	Facilities	2	1	2	3	2	2	2	10	CDBG, Other
Clearance and Demolition	Units	15	172	15	87	15	15	15	75	CDBG, Other
Targeted Code Enforcement	Housing units	500	460	500	480					CDBG, Other
Interim Lot Greening	Units	2	3	2	1	2	2	2	10	CDBG, Other
Public Facilities and Improvements	Facilities	2	4	2	0	2	2	2	10	CDBG, Other
Down payment Assistance	Households	36	0	36	2	36	36	36	180	CDBG, Other
Homeowner Emergency Repair and Rehabilitation	Housing Units	5	0	5	16	5	5	5	25	CDBG, Other
Multi-Family Rental Housing Rehabilitation	Housing Units	10	0	15	76	20	20	20	80	HOME, Other
Rehabilitation/Redevelopment for Affordable	Housing Units	10	16	10	5	10	10	10	50	NSP, CDBG, HOME,

Homeownership										Other
Receivership of abandoned multi-family rental buildings	Housing Units	5	3	5	5	5	5	5	25	CDBG, Other

City of Springfield, MA

NRSA Accomplishments
Fiscal Year 2011-2012



B. HOME Program

The City targeted its FY11-12 HOME funds into four program areas:

- First-Time Homebuyer Assistance;
- Project Based Homeownership;
- Multi-Family Rental Housing; and
- Tenant-Based Rental Assistance.

In FY11-12 the City's HOME allocation was \$1,591,660.00. When added to the \$150,000.00 of anticipated program income, and \$185,000.00 of carryover funds, the amount of HOME funding available for use in FY 11-12 totaled \$1,926,738.00 of which \$1,752,565.00 was available for projects. The timely expenditure of federal funds for the furtherance of the City's identified housing goals is imperative. During this fiscal year, the City expended \$2,750,102.75 of available funds.

Chart A below illustrates the City's program expenditures for FY 11-12.

Each year, the Participating Jurisdiction is required to commit 15% of its HOME entitlement program dollars to CHDO organizations. A two year window is provided for commitment of CHDO funds and five years is provided to complete the eligible activity. In FY 11-12 the City expended \$531,766.97 of funds for CHDO activities. The City is on pace to meet both the two (2) year commitment and the five (5) year expenditure requirements for CHDO Organizations.

The City of Springfield has been able to use the federal HOME allocation to leverage significant additional resources. Within FY10-11, the City's completed projects leveraged a total of \$35,230,833 from private, state and federal sources. Chart B on the following page illustrates the breakdown of leveraged resources.

Program Income Narrative

During the course of the year, the City realized \$157,265.89 in HOME program income. Program Income funds are utilized to operate programs identified in the Action Plan. A summary of realized program income and its utilization is contained within the Financial Summary on page 82 for HOME.

Chart A
FY 11-12 HOME Expenditures by Category
Total Expended \$2,750,102.75

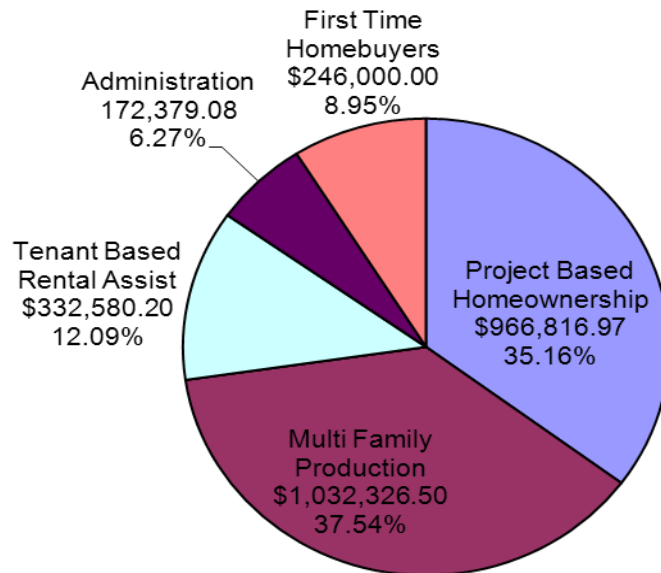
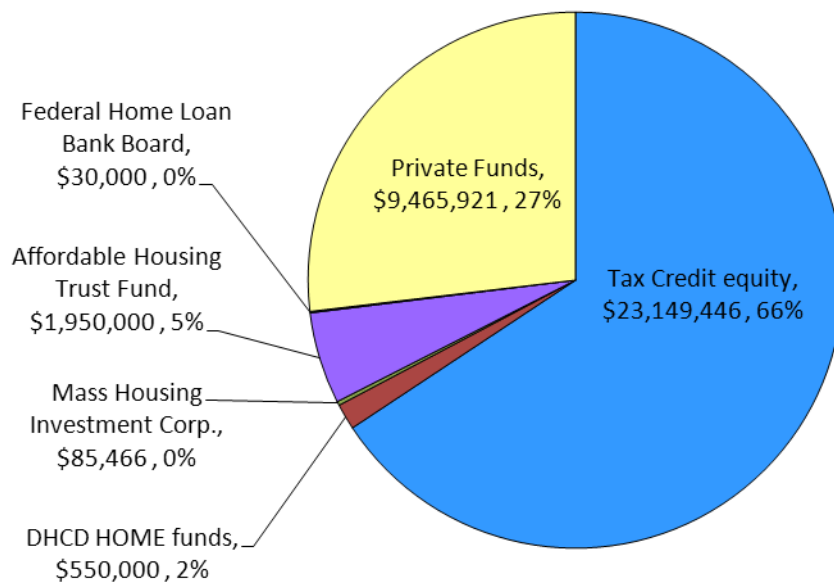


Chart B
Completed Projects Leveraged Resources



First-Time Homebuyer Assistance

The City provided homebuyer assistance—deferred 0% interest loans—in the amount of \$3000 to income-eligible first-time homebuyers purchasing homes within the City. During FY11-12, the City provided assistance to 82 households; of these households, 40 (49%) were Hispanic and 24 (29%) were Black/African-American. One assisted household was Native Hawaiian.

The first-time homebuyer program is directed to low and moderate income households. In addition, the program has been marketed to Section 8 Program housing voucher holders in partnership with the Springfield Housing Authority.

Project Based Homeownership

The City's development partners completed and sold five units in the project-based homeownership program in FY11-12.

Project Address	Project Type	HOME Amount	Total Development Costs	Total Units/ HOME Units
299 Central St	New const./ Nonprofit	\$180,000	\$231,450	1/1
305 Central St.	New const./ Nonprofit	\$180,000	\$231,450	1/1
27 Ames St.	Rehab./ Non-profit	\$80,900	\$146,900	1/1
23 Quincy St	New const./ Nonprofit	\$130,000	\$248,031	1/1
183 Pendelton Ave.	New const./CHDO	\$50,000	\$245,333	1/1
TOTAL		\$620,000	\$1,103,164	5/5

HOME Project-Based Homeownership Photos



299 Central St.



305 Central St.



27 Ames St.



183 Pendelton Ave.



23 Quincy St.

The City's development partners currently have three single-family homes under development with HOME funds. The properties will be sold to eligible first-time homebuyers upon completion.

Project Address	Project Type	HOME Amount	Total Development Costs	Total Units/ HOME Units
90 Quincy St.	New const./ CHDO	\$200,000	\$252,308	1/1
75 Quincy St.	New const./ CHDO	\$200,000	\$248,160	1/1
11 Jefferson St.	New Constr./Non Profit	\$198,200	\$234,100	1/1
TOTAL		\$598,200	\$734,568	3/3

Multi-Family Rental Housing Development

During FY11-12, the City's partners completed two multi-family redevelopment projects.

Project Address	Project Type	HOME Amount	Total Development Costs	Total Units/ HOME Units
City View II Apartments	Rental rehabilitation/ For-profit	\$1,000,000	\$23,183,565	41/11
Cumberland Homes	Rental rehabilitation/ For-profit	\$50,000	\$19,544,516	76/4
TOTAL		\$1,050,000	\$42,728,081	172/15

HOME Rental Housing Redevelopment Photos



City View Commons II



Cumberland Homes

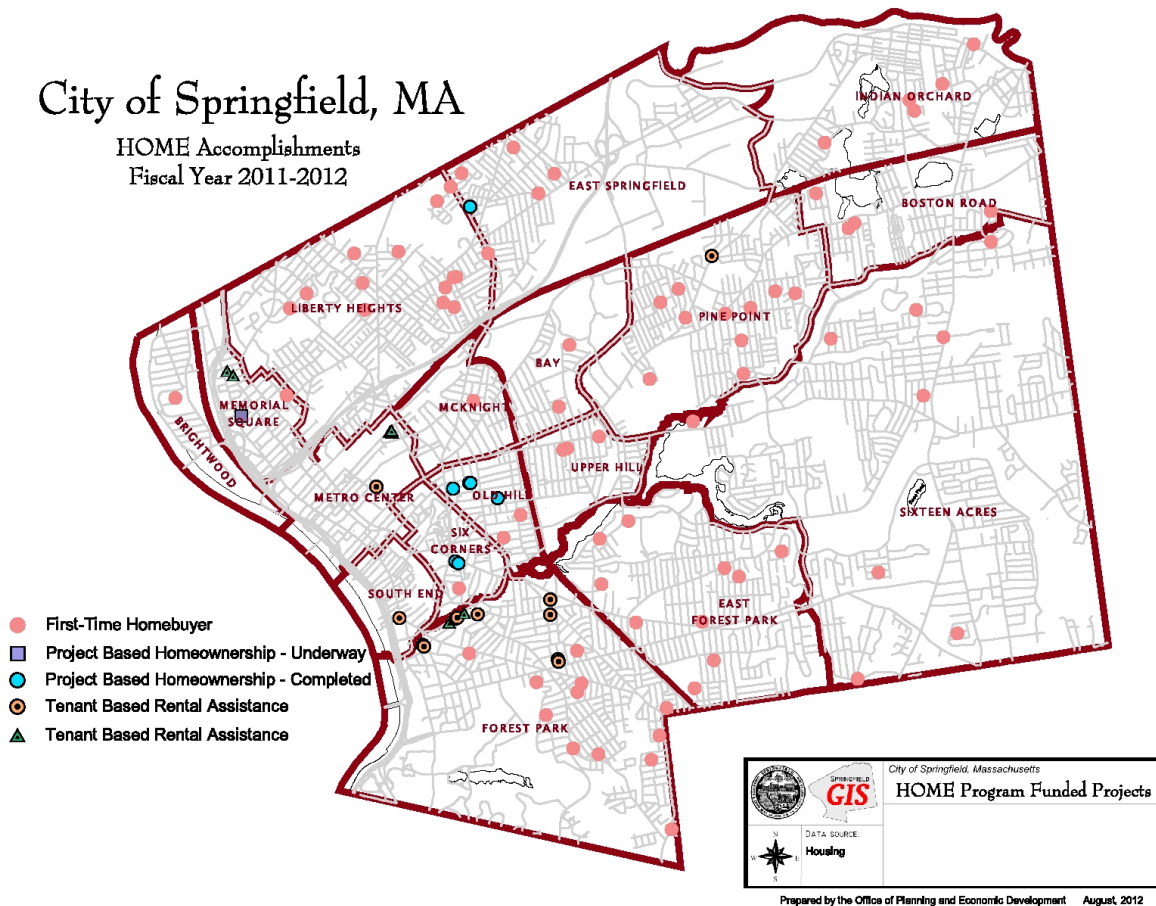
The City currently has four HOME-funded rental housing projects in development. The total number of affordable rental units that will be created as a result is 257. The four projects will achieve a total of 30 HOME units upon completion. The projects have affordability terms of at least fifteen years.

Project Address	Project Type	HOME Amount	Total Development Costs	Total Units/ HOME Units
Borinquen	Rental Rehab./Nonprofit	\$250,000	\$11,162,291	76/11
Concord Heights	Rental Rehab./For Profit	\$550,000	\$20,445,575	104/11
Center City	Rental Rehab./Nonprofit	\$50,000	\$13,115,852	47/3
Tapley Street	Rental Rehab./Nonprofit	\$100,000	\$4,078,088	30/6

Tenant-Based Rental Assistance

The City of Springfield provides tenant-based rental assistance (TBRA) to reduce the rent burden for very-low-income households. The City targets this assistance to vulnerable populations that

require supportive services, such as the chronically homeless and persons with HIV/AIDS. The City makes the assistance available through contracts with providers that have the capacity to operate a rental assistance program and to provide supportive services to TBRA recipients. In FY11-12, the City provided TBRA funding to the Mental Health Association to serve 24 chronically homeless individuals, and to River Valley Counseling Center, to serve 14 individuals who have HIV/AIDS. The City also operates its own TBRA program, which in FY11-12 provided assistance to 22 formerly homeless households.



Fair Housing and Affirmative Marketing

For all federally assisted housing programs, the City requires the project developer to conduct an analysis of those least likely to apply and to develop an Affirmative Marketing Plan. These two documents must be submitted at the time a funding application is submitted.

- The analysis must identify the protected classes least likely to apply for housing and make recommendations on how the likely reasons should be addressed.
- The Affirmative Marketing Plan shall include actions that shall be taken to implement the recommendations the result from the analysis. The Plan shall include but not necessarily be limited to the implementation of a minority outreach program that ensures the inclusion of, to

the maximum extent possible minorities, women, and entities owned by minorities and women.

Such outreach shall include without limitation, real estate firms, underwriters, accountants, and providers of legal services, in all contracts, entered into by the participating jurisdiction with such persons or entities, public and private, in order to facilitate the activities of the participating jurisdiction with such persons or entities, public or private, in order to facilitate the activities of the participating jurisdiction to provide affordable housing under the HOME program or any other applicable Federal housing law.

The Developer's Affirmative Marketing Plan must identify specific community organizations, place of worship, employment centers, fair housing groups or housing counseling agencies where special outreach will be conducted.

Once the City approves the affirmative marketing plan, the project is monitored for compliance through project completion. Documentation is maintained for all marketing activities as part of the project records.

Affirmative marketing procedures and requirements are in place for all rental and homebuyer projects assisted with HOME funds administered by the City of Springfield.

Minority and Women-Owned Business Outreach

The City of Springfield promotes equal opportunity for all its citizens in every aspect of public procurement and contracting by assuring that opportunities to participate in City procurement and contracting are open to all without regard to age, ancestry, color, national origin, disability, race, religion or sex. The City encourages the utilization of minority, women and persons with disabilities by private businesses that contract with the City. The City encourages the award of procurement and construction contracts to business owned by minorities, women and persons with disabilities.

The City's Minority/Women Business Enterprise (MBE/WBE) Program implements the City equal opportunity policy. The Program is a set of specific results-oriented procedures, and has been formulated to further advance the City's policies. The objective of the Program is to develop maximum feasible MBE/WBE participation in construction contracts and in the procurement of goods, services, and supplies.

The City's goal for MBE/WBE participation and minority or women workforce on all construction projects and procurement of goods, supplies and services contracts is not less than twenty percent (20%). Success in meeting this objective will be affected by the availability of minority and women businesses with qualifications required by the City of Springfield.

In the year covered by the Action Plan, HOME project developers awarded M/WBE contracts and subcontracts in the amount of \$72,635, and Section 3 contracts and subcontracts in the amount of \$496,454. The City will continue to strive to increase M/WBE and Section 3 business participation.

Relocation

None of the development projects that were completed during the program year involved permanent displacement of tenants from housing units. All approved projects were reviewed to determine applicability of the Uniform Relocation Assistance (URA) guidelines.

Matching Funds Report

The City of Springfield is 100% forgiven from HOME matching requirements for the FY11-12 fiscal year. Census data demonstrate that the City meets the regulatory definition of a local government participating jurisdiction that is in severe fiscal distress as stated in section 92.222(a)(1) of the HOME Investment Partnership regulations. In Springfield:

- “the average poverty rate in the participating jurisdiction was equal to or greater than 125 percent of the average national poverty rate during the calendar year for which the most recent data are available, as determined according to information of the Bureau of the Census.”

Poverty Rate		
Springfield, MA	United States	% of Average United States Poverty Rate
26.9	14.4	187%

Source: US Census Bureau, 2010 American Community Survey, 3-year estimate

- “the average per capita income in the participating jurisdiction was less than 75 percent of the average national per capita income during the calendar year for which the most recent data are available.”

Per Capita Income*		
Springfield, MA	United States	% of United States
17,746	26,942	66%

Source: US Census Bureau, 2010 American Community Survey, 3-year estimate

Monitoring During Development Period

City staff conducts initial, progress, and close-out (final) inspections on all developer projects--project-based homeownership and multi-family production--throughout the development process.

On-Site Monitoring

Qualified City staff conduct on-site inspections of affordable rental projects in accordance with HOME regulations. Units are inspected as part of the annual recertification process.

HOME Long-Term Compliance Monitoring

During FY11-12, the City reviewed and made changes to its HOME Compliance Monitoring Program regarding monitoring of long-term compliance with HOME requirements in the Rental Rehabilitation Program and in the Project-Based Homeownership Program.

File Organization

The City has created a new filing system for properties subject to long-term monitoring. These HOME-funded programs are now divided into 3 categories: 1) properties with 26 or more units, which must be monitored at least annually; 2) properties with 5 to 25 units, which must be monitored at least every two years; and 3) properties with 1-4 units, which must be monitored at least every three years. Each category of files is color-coded.

Each property now has a single monitoring multi-page file folder, with set-aside locations for 1) property information; 2) annual occupancy and rent reports; 3) HQS inspection reports; 4) on-site monitoring reports; 5) monitoring letters and related correspondence; and 6) financial and other records.

Monitoring Task Schedule and Record

The master checklist for each type of file contains a list and schedule for all monitoring tasks. As each task is completed, the staff person completing the task will initial and date the box indicating that the task is complete. Having a master list for each property type enables multiple staff to work on monitoring, with all entering information about tasks completed in one place.

There are three primary activities that are undertaken to monitor compliance:

1. Annual Rent and Occupancy Report, which must be submitted by all HOME-funded projects containing rental projects annually.
2. Housing Quality Inspections, which are completed annually at all properties with 26 or more units, every two years for properties with 5 to 25 units, and every three years for properties with 1 to 4 units.
3. On-Site Monitoring Visits, which are completed annually at all properties with 26 or more units, every two years for properties with 5 to 25 units, and every three years for properties with 1 to 4 units.

Checklists for Use in Monitoring

In order to simplify the task of monitoring each HOME-funded property on a regular basis, the City is using HUD-distributed monitoring checklists. The checklists to be used are: 1) Rental Project Completion (for new projects, going forward); 2) Initial Rent and Occupancy; 3) Annual Project Compliance Report; and 4) On-Going Monitoring.

These standard checklists ensure that all compliance issues are checked at each review, and also simplify the task of reporting on project compliance. Where a project is fully in compliance, there will be no need for a written memo: the checklists will stand as the record, and a simple letter will inform property management that the City has found them in compliance.

D. Foreclosure and Neighborhood Stabilization Program

Springfield continues to be hard-hit by the foreclosure crisis. The City had very high rates of subprime mortgage lending, and has a corresponding high rate of foreclosures. Springfield's rate far exceeds the Massachusetts and national averages, and most foreclosures in the Western Massachusetts region are concentrated in Springfield.

Because of falling housing prices and the weak housing market, foreclosed homes—especially in the City's core and transitional neighborhoods—remain unsold, and have become vacant. Neighborhoods made up of 1-4 unit rental homes have experienced property flipping, failure to maintain properties, and abandonment by investors as the market fell. In some neighborhoods, individual streets have multiple boarded-up homes. The blight is very destabilizing for neighborhoods, and further reduces property values. In addition, the City has begun to see an increase in suspicious fires taking place in vacant or abandoned homes.

Understanding the Impact on Neighborhoods and Targeting Interventions In FY08-09, the City undertook neighborhood-level analysis to choose target areas for Neighborhood Stabilization Program fund investments. Based on the assessment to determine the neighborhoods most at risk of destabilization due to foreclosure, the City decided to target interventions in two complete neighborhoods—Old Hill and Six Corners, as well as the eastern side of the South End and a part of lower Forest Park.

In FY09-10 and 10-11, the City continued to look at data regarding target neighborhoods in its NeighborhoodStat meetings, where multiple City departments come together to examine various types of data about a single neighborhood. For neighborhood stabilization efforts, these meetings included maps with overlays showing information about crime, fire, complaints about property, property tax delinquency, code enforcement complaints and cases, and building code issues. These coordinated data reviews enabled the City to further refine its targeting of interventions. The NSP projects that the City has chosen to fund are clustered in a few areas within the highly-impacted neighborhoods.

Neighborhood Stabilization Program The City was awarded \$3.5 million in Neighborhood Stabilization Program (NSP 1) funds in 2008--\$2.5 as an entitlement grant from HUD, and \$1 million through the MA Department of Community Development. These funds must be spent by March 2013. The City was awarded another \$1.7 million in NSP 3 funds in 2011; these funds must be spent by March 2014.

Five NSP-funded rehabilitation/redevelopment projects have been completed and sold to income-qualified buyers, and 13 are underway.

In Old Hill, Springfield Neighborhood Housing Services has redeveloped three residential

parcels that had been foreclosed upon by the City of Springfield for failure to pay taxes. Two of these new homes are affordable housing for homeowner households with incomes at or below 50% of the area median income; the third is being assisted with HOME funds and will be affordable to households with up to 80% area median income.



11 Olive St.



176 Quincy St.

In Old Hill, HAP has completed redevelopment of 11 Olive Street, and rehabilitation of 176 Quincy Street. Both of these properties had been foreclosed upon for nonpayment of taxes, and both have been sold to homeowners with incomes at or below 120% area median income.



19 Ashley Street



34 Ashley Street



70 Ashley Street

In the Six Corners neighborhood, HAP Housing rehabilitated three foreclosed homes on one block. Each of the three houses is a two-family home. The properties have all been sold to homeowners, and three of the resulting six units are affordable to households with income at or below 50% of the area median income. The first-floor unit at 34 Ashley Street is handicap-accessible.

The City has also used NSP funds to demolish blighted buildings. The City has demolished or is in process of demolishing the following:

South End neighborhood

- Demolition of 11-15 Adams, a blighted and foreclosed commercial building
- Demolition of 32 Richelieu St., a blighted and abandoned house
- Demolition of 6-8 Hillside Place, a blighted and abandoned house
- Demolition of 609-611 Main Street, a blighted commercial structure
- Demolition of 25 Richelieu St., a blighted home (in process)

Six Corners neighborhood

- Demolition of 388 Central Street, a blighted and foreclosed nursing home
- Demolition of 368 Central Street, a blighted and foreclosed house

Old Hill neighborhood

- 200-204 Quincy St., a blighted and foreclosed home (in process)
- 43 Stebbins St., a blighted and foreclosed home (in process)
- 128 Orleans St. (in process)
- 81-83 Tyler St. (in process)

During FY11-12, a number of NSP projects will be completed or substantially completed, and the completed homes are expected to sell in the next fiscal year. These projects are listed below:

Old Hill neighborhood

- 13-15 Quincy St., redevelopment of foreclosed residential lot, resulting in a two-family home, with both units available for homeownership affordable to households with income at or below 50% area median income (Greater Springfield Habitat for Humanity)
- 75 Tyler St., rehabilitation of a foreclosed single-family home, to be sold to a homeowner (Springfield Neighborhood Housing Services)
- 236 Tyler St., demolition of an abandoned blighted house, followed by redevelopment of the site into a single-family home for homeownership (HAP Housing)
- 140 Pendelton Ave., demolition of an abandoned blighted house, followed by redevelopment of the site into a single-family home for affordable homeownership (Springfield Neighborhood Housing Services)
- 238 Quincy St., redevelopment of a foreclosed residential lot into one single-family homeownership unit, which will be sold to a household at or below 50% area median income (Habitat for Humanity) [NSP3]
- 48 Quincy St., redevelopment of a foreclosed residential lot into one single-family homeownership unit, which will be sold to a household at or below 50% area median income (Habitat for Humanity) [NSP3]
- 133 Colton St., demolition of an abandoned blighted house, followed by

redevelopment of the site into a single-family home for affordable homeownership (Springfield Neighborhood Housing Services) [NSP3]

- 245 Tyler St., redevelopment of a foreclosed residential lot into one single-family homeownership unit (HAP Housing) [NSP3]
- 126 Orleans St., demolition of an abandoned blighted house, followed by redevelopment of the site into a single-family home for affordable homeownership (HAP Housing) [NSP3]
- 129 Orleans St., demolition of an abandoned blighted house, followed by redevelopment of the site into a single-family home for affordable homeownership (HAP Housing) [NSP3]

South End neighborhood

- 56 Adams, demolition of an abandoned blighted house, followed by redevelopment of the site into a single-family home for affordable homeownership (Criminal Justice Organization of Hampden County, Inc.)
- 62 Adams, redevelopment of an abandoned residential lot, into a single-family home for homeownership (Criminal Justice Organization of Hampden County, Inc.)

Six Corners neighborhood

- 44 Dexter St., redevelopment of foreclosed residential lot, resulting in an affordable single-family home for homeownership (Greater Springfield Habitat for Humanity)

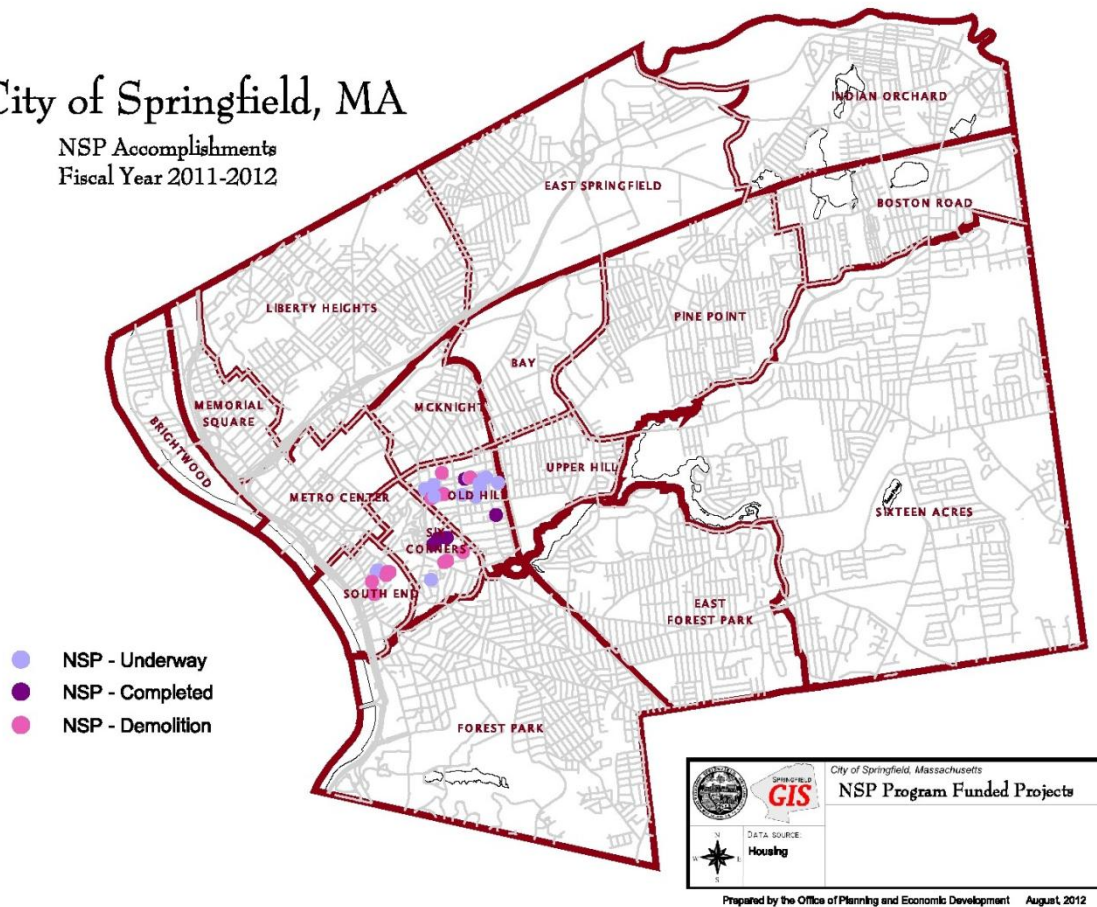
The full impact of NSP1 and 3 will be creation of 28 units. Of these, 24 will be for homeownership, and 4 will be for rental. Ten of the units will be affordable to households with income at or below 50% area median income, and the rest will be affordable to households with income at or below 120% area median income.

As the completed homes are sold, the City will realize program income. The City intends to use the program income to develop homeownership opportunities.

The City has coordinated its NSP projects with additional investments in the same neighborhoods. Some of these investments are HUD-funded, and are described in other sections of the CAPER. These acquisition and disposition of residential properties, homebuyer assistance, targeted code enforcement, securing vacant buildings, and demolition of additional blighted buildings. Other improvements include paving and streetscapes, and improvements to parks.

City of Springfield, MA

NSP Accomplishments
Fiscal Year 2011-2012



Increasing Receivership Activity. In FY11-12, the City continued working with the Massachusetts Housing Partnership (MHP) and the Massachusetts Housing Investment Corporation (MHIC) to increase our capacity to initiate and maintain receiverships, including “no-heat” receiverships. MHP contributed funding for staff interns and a pool of funds to undertake small emergency repairs, and MHIC created a loan fund to finance large receiverships. The City allocated CDBG funds to a receivership loan pool for moderate-size projects. Receiverships enable the City to stabilize and preserve multi-family properties in foreclosure.

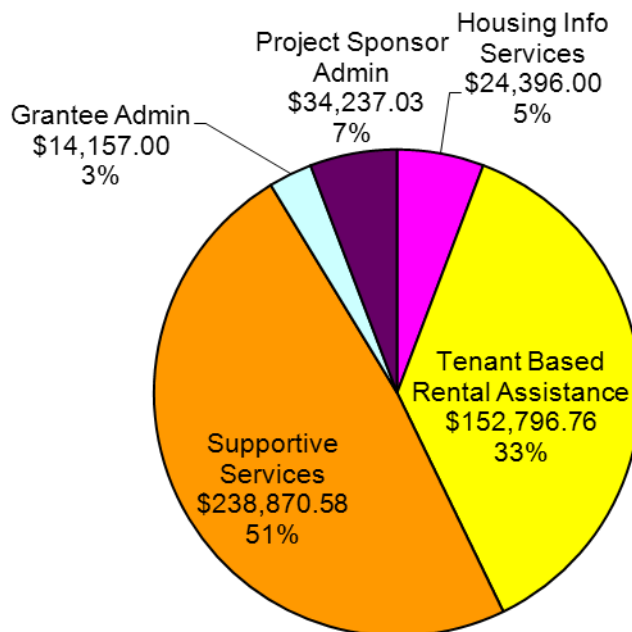
In FY11-12, the City filed motions for receiver in 71 cases, and receivers were appointed in 38 cases. The City made two loans to receivers.

E. HOPWA Narrative

The City of Springfield is the HOPWA grantee for the tri-county area, which is comprised of Hampden, Hampshire, and Franklin County. The designation as an entitlement community for HOPWA funds occurred in 2001.

FY11 - 12 Expenditures by Category

Total HOPWA Expended: \$464,457.37



The HOPWA grant funded the following projects:

1. **River Valley Counseling Center** provided intensive support services and Tenant Based Rental Assistance to 16 households, and Housing Information Services to 67 individuals. River Valley primarily serves residents of Hampden County.
2. **Center for Human Development HIV/AIDS Law Consortium** provided legal assistance, advocacy, and small group workshops to clients and case managers on issues of discrimination in housing and benefits. The Law Consortium provided legal services to 82 households.
3. **New North Citizen's Council** provided support services, rental start up and short-term assistance to eligible households. The program provided supportive services to 93 individuals and short-term rental assistance to 86 households.

4. **Cooley Dickinson Hospital's AIDS Care** provided tenant-based rental assistance and support services to 12 households. Supportive Services were provided to 32 households. Cooley Dickinson primarily serves residents of Hampshire County.

The City of Springfield's Office of Housing provides the grant management and the Community Development Department provides financial oversight. Program oversight consists of program monitoring through quarterly reports and on-site monitoring as needed. The City's quarterly report mirror HUD's Annual Progress Reports with the addition of a program narrative, which details challenges and accomplishments.

Sponsors are selected through a competitive formal Request for Proposal process. The RFP process has been consistent since Springfield's designation of an entitlement area.

Project Accomplishments Overview

HOPWA funds provided a range of housing activities including:

- Emergency or short-term housing for 86 households
- Rental assistance to 28 households
- Housing Information Services to 67 persons
- Supportive Services to 223 households

HOPWA Grantees reported matching funds of \$328,285.59 from the following sources: City of Springfield, MDPH, SAMSHA and a federal grant.

Barrier/Trends Overview

The greatest challenge has been the scarcity of resources to serve the eligible population.

The Tri-county area continues to see an increase in the number of HIV/AIDS cases and a decrease in the public dollars available to serve this growing population. Coupling these factors with an increased life expectancy results in a tremendously burdened system. Over the next five years, providers will need to evaluate the use of mainstream health and housing programs to provide for impacted households. The City as an administrator of HOPWA funds will continue to stress the importance of a community partnership and leveraging of non-HOPWA resources.

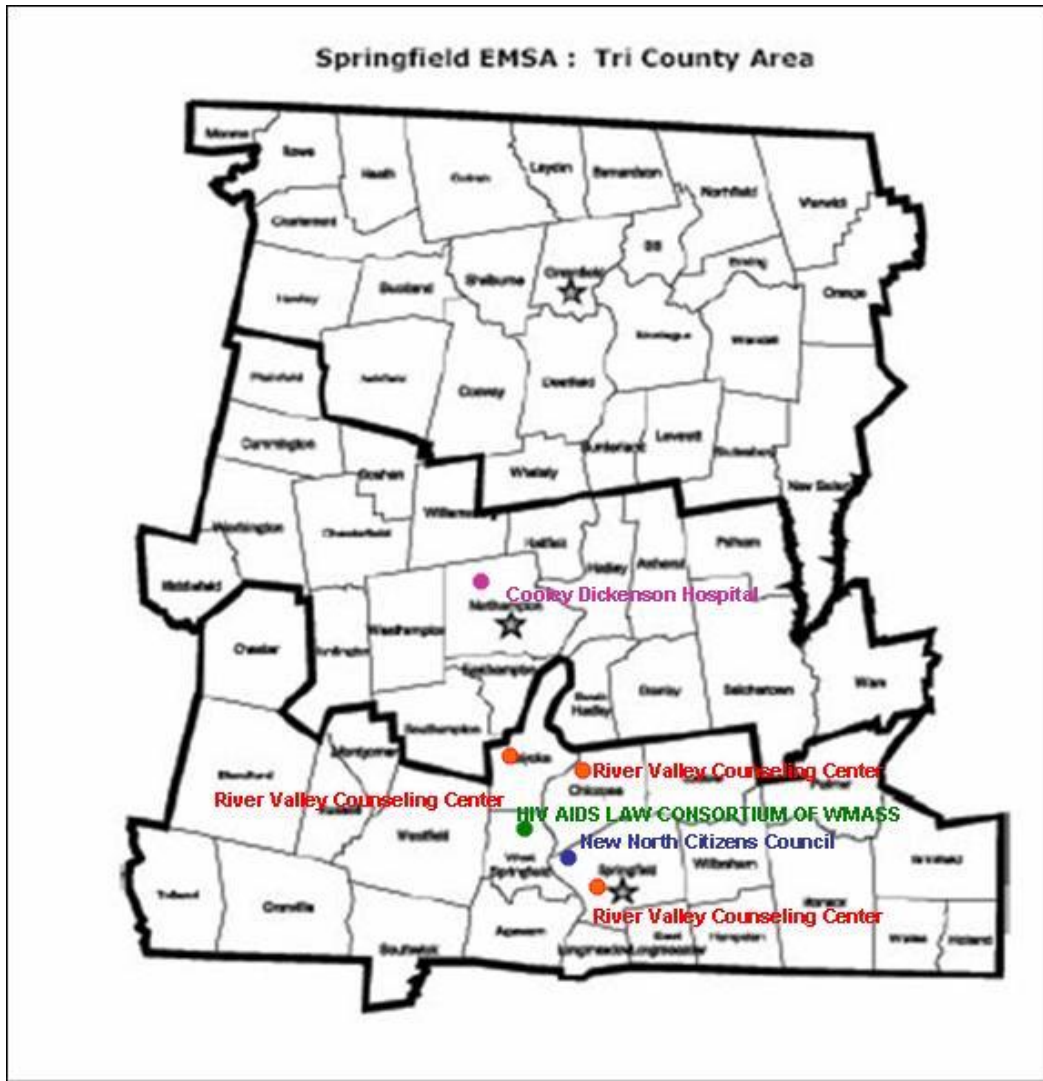
HOPWA REPORT – FY11-12

	Center for Human Development	Cooley Dickinson	NNCC	River Valley	FY TOTAL
CONTRACT #	20120066	20120170	20120070	20120072	
Support Services	82	32	93	16	223
TBRA		12		16	28
Housing Information				67	67
STRMU			86		86
less duplicates:				-16	-16
TOTAL HH SERVED:	82	44	179	83	388

Agency	Center for Human Development	Cooley Dickinson	NNCC	River Valley	FY TOTAL
HOPWA Contract Amount	\$47,916.00	\$128,253.00	\$ 124,465.00	\$165,591.00	\$ 466,225.00
HOPWA Expended Funds	\$ 47,910.66	\$ 128,253.00	\$ 124,465.00	\$163,023.00	\$ 463,651.66
EXPENDITURE AMOUNTS					
Support Services	\$ 44,569.77	\$ 55,577.00	\$ 73,683.00	\$77,038.59	\$ 250,868.36
TBRA		\$ 63,703.00		\$50,063.00	\$ 113,766.00
Housing Information				\$24,542.86	\$ 24,542.86
STRMU			\$ 42,069.00		\$42,069.00
Administration	\$ 3,340.00	\$ 8,973.00	\$ 8,713.00	\$11,378.60	\$ 32,404.60
TOTAL	\$ 47,909.77	\$ 128,253.00	\$ 124,465.00	\$163,023.05	\$ 463,650.82
Matching Funds					
City of Spfidl				\$40,000.00	\$ 40,000.00
MDPH	\$ 110,488.33	\$ 15,402.00		\$2,562.26	\$ 128,452.59
Fed Grant			\$ 157,741.00		\$ 157,741.00
SAMHSA				\$2,092.00	\$ 2,092.00
Ryan White					\$ -
Donations					\$-
In Kind					\$ -
TOTAL MATCHING FUNDS	\$ 110,488.33	\$ 15,402.00	\$ 157,741.00	\$44,654.26	\$ 328,285.59

HOPWA Funded Organizations

2011-2012



F. ESG Narrative

After a community needs assessment, the City requested proposals from homeless service providers to operate ESG eligible programs. For the first allocation of ESG funds for 2011-2012, which was \$179,926, the City operated under the spending caps that were part of the former ESG program. These spending caps limited spending for Essential Services at 30%, and limited spending for Prevention at 30% (30% of the initial grant amount is \$53,977.)

In December, 2011, the City was notified that it would receive a second allocation of ESG funds, in the amount of \$101,208, and that these funds must be used in accordance with newly-released interim Emergency Solutions Grant regulations. The new regulations eliminate the former spending caps, but require that the amount that be used for street outreach and emergency shelter activities cannot exceed the greater of 60% of the recipient's fiscal year grant or the amount of fiscal year 2010 ESG grant funds committed for Homeless Assistance activities.

60% of FY11 ESG grant	\$170,000
FY10 Homeless Assistance funds	\$127,200

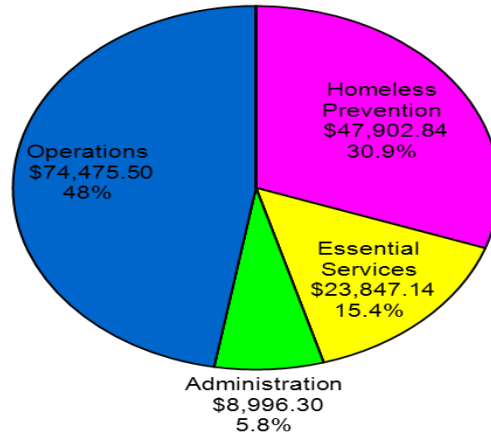
The greater of these amounts is \$170,000, which caps the amount that the City could spend on street outreach and emergency shelter activities. The interim ESG regulations allowed the City to re-allocate unspent first allocation ESG funds under the new regulations.

The Interim ESG regulations require the City to consult with the Continuum of Care in planning for use of the second allocation. This planning took place in February and March 2012.

The City expenditures for FY11-12 within the allowable activities and expenditure caps are located on pages 96-97.

ESG funds have statutory match funds requirement of one to one. For every ESG dollar expended, one dollar of other private or eligible public money must be expended. The City's ESG program far exceeded this requirement by leveraging \$1,334,624.50.

FY11-2012 Expenditures by Category, First Allocation
Total ESG Expended: \$155,221.78



ESG Activities – First Allocation

The former Emergency Shelter Grants program (which governed the City’s first allocation of ESG funds) included four eligible activities: to increase the number and quality of emergency shelters/and transitional housing facilities, to operate these facilities, to provide essential services, and to help prevent homelessness.

Eligible ESG activities, with corresponding funded programs, are:

1. **Renovation** - Rehabilitation and conversion of buildings for use as emergency shelters or transitional housing for the homeless. The City did not fund any renovation activities this fiscal year.
2. **Essential services** - Assistance may be used to provide essential services for persons in emergency shelter, including services concerned with employment, health, drug abuse or education.

PROJECTS

Friends of the Homeless was awarded \$20,000 to provide case management to shelter guests, to assist them in moving out of homelessness and into permanent housing. FOH provided case management to 3202 people.

3. **Operating costs** - such as maintenance, insurance, rent, utilities and furnishings incurred by a recipient operating a facility

PROJECTS

Friends of the Homeless was awarded \$60,000 for the operation of an emergency shelter for homeless individuals. The shelter served 3202 persons.

The YWCA was awarded \$10,000 for the operation of an emergency shelter for women and their children who were victims of domestic abuse. The project served 103 households.

4. **Homeless prevention** and efforts to prevent homelessness such as financial assistance to families who have received eviction notices or notices of termination of utility services if - a) the inability of the family to make the required payments is due to a sudden reduction in income; b) the assistance is necessary to avoid the eviction or termination of services; c) there is a reasonable prospect that the family will be able to resume payments within a reasonable period of time; and d) the assistance will not supplant funding for preexisting homelessness prevention activities from other sources.

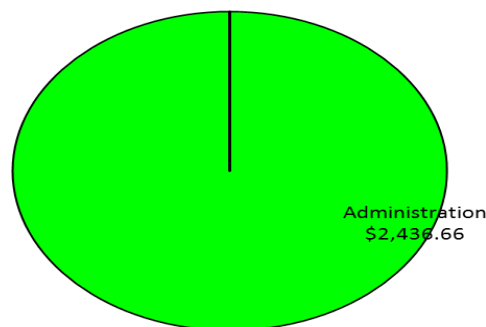
PROJECTS

Tenancy Preservation Program (TPP) was awarded \$25,000 to provide case management, mediation and mental health intervention for households with tenancy at-risk due to mental health issues. The program utilizes a community-based team that works in conjunction with community organizations to identify and intervene in situations where there is imminent risk of homelessness. This program is a state-wide model that has received national acclaim. During this fiscal year, the TPP assisted 84 people.

HAP Housing was awarded \$26,962 to provide financial assistance to prevent homelessness among households who have received eviction notices or notices of termination of utility services. With the ESG grant, HAP provided financial assistance to 22 households in order to prevent homelessness.

FY11-2012 Expenditures by Category, Second Allocation and Re-Allocated Funds

Total ESG Expended: \$2,436.66



For the second allocation, only administrative funds were drawn down prior to expiration of the fiscal year. Expenses were incurred by program recipients but were not reimbursed prior to June 30, 2012.

ESG Activities – Second Allocation and Re-allocated Funds

The Interim Emergency Solutions Grant regulations include the following program components:

1. **Street Outreach - Essential Services** related to reaching out to unsheltered homeless individuals and families, connecting them with emergency shelter, housing, or critical services, and providing them with urgent, non-facility-based care.
2. **Emergency Shelter - Major Rehabilitation, Conversion, or Renovation** of a building to serve as a homeless shelter; Essential Services such as case management, childcare, education services, employment assistance and job training, outpatient health services, legal services, life skills training, mental health services, substance abuse treatment services, transportation, and services for special populations; and Shelter Operations, including maintenance, rent, repair, security, fuel, equipment, insurance, utilities, relocation, and furnishings.
3. **Prevention - Housing relocation and stabilization services and short-and/or medium-term rental assistance** as necessary to prevent the individual or family from becoming homeless if: Annual income of the individual or family is below 30 percent of median family income, and Assistance is necessary to help program participants regain stability in their current permanent housing or move into other permanent housing and achieve stability in that housing. Eligible costs include utilities, rental application fees, security deposits, last month's rent, utility deposits and payments, moving costs, housing search and placement, housing stability case management, landlord-tenant mediation, tenant legal services, and credit repair.
4. **Rapid Re-Housing - Housing relocation and stabilization services and short-and/or medium-term rental assistance** as necessary to help individuals or families living in shelters or in places not meant for human habitation move as quickly as possible into permanent housing and achieve stability in that housing. Eligible costs also include utilities, rental application fees, security deposits, last month's rent, utility deposits and payments, moving costs, housing search and placement, housing stability case management, landlord-tenant mediation, tenant legal services, and credit repair.
5. **Data Collection (HMIS)** - Grant funds may be used for the costs of participating in an existing HMIS of the Continuum of Care where the project is located.

PROJECTS

The City used its entire second allocation, as well as re-allocated funds from the first allocation, for Prevention and Rapid Re-Housing. The City funded the following projects:

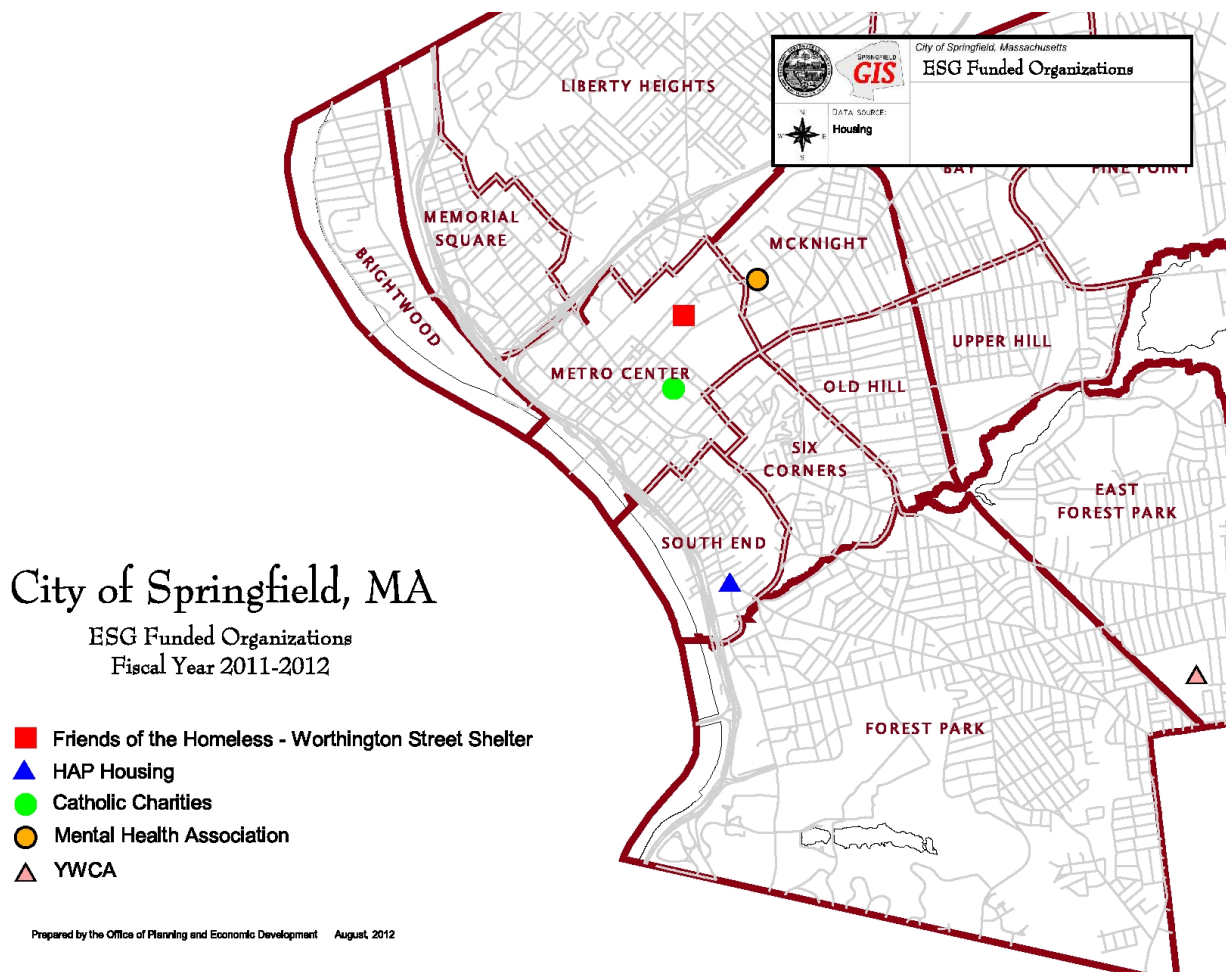
Catholic Charities was awarded \$55,703.47 to provide rapid rehousing to individuals who are homeless.

Rapid Rehousing

Housing Relocation and Stabilization Services	\$18,000.00
Tenant-Based Rental Assistance	\$37,703.47

HAP Housing was awarded \$62,383.48 to provide rapid rehousing assistance to homeless families. These funds are all for tenant-based rental assistance.

Because these funds were awarded late in the fiscal year, little of this money was spent in the current fiscal year. Agencies were awarded contracts that required that the funds be spent in full by June 30, 2013.



ESG REPORT FY11-12

	HAP PREVENTION	FOH OPERATIONS	Catholic Charities	MHA-TPP PREVENTION	YWCA OPERATIONS	FY TOTAL
CONTRACT #	20120776	20120049	20121165	20120069	20120073	
Unaccompanied males	1	2612	13	17	0	2643
Unaccompanied females	4	590	14	67	56	731
Under 18 female	0	0	0	0	0	0
Under 18 male	0	0	0	0	0	0
Male Single Parent Families	0	0	0	0	0	0
Female Single Parent Families	15	0	0	0	47	62
Two Parent Families	0	0	0	0	0	0
Adult couples w/o child	2	0	1	0	0	3
HOUSEHOLDS SERVED:	22	3202	28	84	103	3439
Children:	32	0	0	0	81	113
RACE:						
White	6	988	4	54	32	1084
Black	10	805	13	13	30	871
Hispanic	5	1377	9	16	38	1445
Asian	0	29	0	0	0	29
Nat.Amer Indn/Alaskan Native	0	1	0	0	0	1
Hawaiian/Other Pacific Islander	0	0	0	0	0	0
Amer Indian/Alaskan Native & White	0	0	0	0	0	0
Asian & White	0	0	0	0	0	0
Black/African-American & White	0	0	0	0	0	0
Amer Indian/Alaskan Native & Black	0	0	0	0	0	0
Other - Multi	1	2	2	1	3	9
TOTAL SERVED:	22	3202	28	84	103	3439
Chronically Homeless	12	806	13	0	0	831
Severely Mentally Ill	1	1278	0	80	0	1359
Chronic Substance Abuse	0	871	0	19	0	890
Other Disability	4	1307	11	33	0	1355
Veterans	0	198	0	2	0	200
Persons w/HIV/AIDS	0	49	0	3	2	54
Domestic Violence	5	470	0	31	109	615
Elderly	0	0	0	0	0	0
CONTRACT AMOUNTS & EXPENDITURES						
Contract Amounts	\$27,926.00	\$80,000.00	\$56,735.00	\$25,000.00	\$10,000.00	\$199,661.00
ESG FUNDS EXPENDED	\$24,483.48	\$80,000.00	\$13,464.77	\$24,196.00	\$10,000.00	\$152,144.25
MATCHING FUNDS						
Dept. of Families & Children					\$10,000.00	\$10,000.00
DHCD	\$27,983.39			\$191,638.00		\$219,621.39
DMH				\$62,335.00		\$62,335.00
MA HOUSING				\$91,133.00		\$91,133.00
CHA				\$7,295.00		\$7,295.00
In Kind			\$26,208.13			\$26,208.13
DTA		\$918,031.98				\$918,031.98
TTL MATCHING FUNDS	\$27,983.39	\$918,031.98	\$26,208.13	\$352,401.00	\$10,000.00	\$1,334,624.50
	Contract #		GOALS			
FOH Operations	20120049		To operate an emergency shelter for at least 1200 single individuals, and to provide case management services to homeless individuals.			
Catholic Charities	20121165		Homeless prevention to at risk individuals.			
YWCA	20120073		To provide emergency shelter for 140 women & children who are victims of domestic violence.			
MHA - TPP	20120069		To provide advocacy for at least 30 at-risk households.			
HAP	20120776		Homeless prevention to at risk families.			

HUD REPORTING REQUIREMENTS

A. Affirmatively Furthering Fair Housing

The CDBG program contains a regulatory requirement to affirmatively further fair housing based upon HUD's obligation under Section 808 of the Fair Housing Act, and CDBG regulations also require that CDBG grantees certify that they will affirmatively further fair housing. The HOME program also requires that jurisdictions affirmatively further fair housing.

In support of these regulations, HUD's CPD Department also requires CD grantees, including entitlement communities like Springfield, to document Affirmatively Furthering Fair Housing AFFH actions in their annual CAPERs. Grantees must:

- Conduct an analysis to identify impediments to fair housing choice within the jurisdiction;
- Take appropriate actions to overcome the effects of any impediments identified through the analysis; and
- Maintain records reflecting the analysis and actions to eliminate impediments to fair housing choice.

In order to comply with these regulations and requirements, the City of Springfield conducted a Fair Housing planning process in 2001, which included completion of an analysis of impediments to fair housing. In 2003, the City of Springfield's Office of Community Development revised its analysis of impediments (AI) with the help of MBL Housing and Development Inc., a consultant hired based on direction from HUD.

In 2006, the City of Springfield augmented this AI with additional analysis and creation of measurable action steps. A DRAFT AI was made available for public review as part of the public review process for the 05-06 CAPER, and it was sent for review and comment to organizations that are directly or indirectly involved with affirmatively furthering fair housing in the region. A copy of the final AI was included in the City's FY06-07 Action Plan.

The City has determined that it should update its AI, and intends to do so in the next fiscal year. As part of a regional Sustainable Communities Initiative, the Pioneer Valley Planning Commission is collecting and analyzing data related to regional impediments to Fair Housing. The City is waiting for this analysis to be complete in order to use it in creating its updated AI.

An overview of the impediments found in the 2006 AI and a list of actions taken during the FY11-12 program year to address the impediments are detailed below.

IMPEDIMENTS FOUND

The following impediments to fair housing in Springfield were identified in the AI:

- a. Lack of extensive amounts of undeveloped land.
- b. Imbalance between rental and homeownership in various neighborhoods.

- c. Presence of deteriorated privately-owned properties which are vacant or not actively managed.
- d. Evidence of predatory lending and redlining.
- e. Existing patterns of segregation.
- f. Language barriers and cultural differences.
- g. The age of the housing stock and the prevalence of lead-based paint hazards.

ACTIONS TAKEN TO ADDRESS IMPEDIMENTS

The City of Springfield has taken positive steps to affirmatively further fair housing and to address the impediments to fair housing identified in the AI.

1. Provision of housing opportunities. Springfield's AI indicates that some of the greatest barriers to fair housing are related to the lack of housing opportunities for all people. The City continues to address this issue through the following initiatives:
 - a. Expansion of affordable, affirmatively marketed housing stock throughout all Springfield's neighborhoods. Through the strategic use of its federal housing funds, the city has financed affordable housing opportunities within nearly all of Springfield's neighborhoods. The City's financing requires the units to be affirmatively marketed by the developer/owner with the results of those marketing efforts reported to the City annually.
 - b. Utilization of municipal properties as redevelopment sites for affordable housing opportunities. Springfield has undertaken a comprehensive program to take abandoned blighting properties through the land court process. The reuse of these properties has enabled the city to create affordable homeownership opportunities.
 - c. Multi-family dwelling owners seeking financial assistance, including for rehabilitation and lead paint abatement, are required to demonstrate how the project will be marketed to 'those persons least likely to apply' and demonstrate, to the greatest extent possible, that the multi-family complexes are integrated communities.
 - d. Provision of financial assistance to eligible homebuyers in all Springfield neighborhoods. A basic premise of Springfield's homebuyer assistance program is that each buyer should be able to achieve homeownership in any neighborhood.
 - e. Advocacy at the regional level to expand affordable and supportive housing opportunities throughout the region.
2. Provision of Education concerning Fair Housing and Housing Discrimination

- a. The City provided homebuyer education workshops in English and Spanish throughout the program year. While the primary objective is to prepare first-time homebuyers for ownership, the education workshops contain a component on fair housing.
- b. The City, through its Office of Housing and through a subcontract relationship, provided education and legal advocacy for households facing housing discrimination.

B. Affordable Housing

Through a variety of programs, the City was able to assist low and moderate income homeowners and renters. The following table illustrated the numbers of households assisted. The accompanying program descriptions provide a brief overview of the programs and funding sources.

AFFORDABLE HOUSING: HOUSEHOLDS ASSISTED

	First-Time Homebuyer	Emergency Repair/ Rehab	Heating Systems and Clean & Tune	Homelessness Prevention & Rapid Rehousing	Project-Based Homeownership	Multi-Family Rental Production	TBRA	Totals
0-30 MFI Renter	-	-	11	34	-	14	64	123
0-30 MFI Owner	4	4	936	-	0	-	-	944
31-50 MFI Renter	-	-	4	-	-	12	1	17
31-50 MFI Owner	11	3	312	-	2	-	-	328
51-80 MFI Renter	-	-	2	-	-	-	0	2
51-80 MFI Owner	47	2	34	-	3	-	-	86

Key:

Heating Systems - a state funded heating system repair and replacement system that serves fuel assistance eligible households.

Clean and Tune – a state funded program that provides annual maintenance service to heating systems for fuel assistance eligible homeowners.

Homelessness Prevention and Rapid Rehousing – a federally funded program which offers assistance to households at risk of or experiencing homelessness.

Project Based Homeownership – a federally funded (HOME) program, which provides homeownership units for first-time homebuyers. Developers are provided financial assistance to acquire and rehabilitate distressed properties.

Multi-family Rental Production – a federally funded (HOME) program which produces affordable rental units through the rehabilitation of multi-family housing complexes, or, in some limited cases, through new construction.

TBRA –Tenant-based Rental Assistance - a federal funded (HOME) program used to provide rental subsidies for formerly homeless singles and families.

C. Homeless/Continuum of Care Narrative

Progress in Meeting Objectives for Reducing and Ending Homelessness. Within the last year, HUD established regulations providing guidance under the Homeless Emergency Assistance and Rapid Transition to Housing Act of 2009 (the HEARTH Act), and these regulations, effective January 4, 2012, include amendments to HUD’s Consolidated Plan regulations. The Consolidated Plan amendments include new planning and reporting requirements regarding progress toward goals of reducing and ending homelessness.

Outreach. The City’s very strong outreach capacity is indicated by the progress made over many years in reducing our street population, which was only 16 at our most recent point-in-time count. Our outreach providers know our street population and work actively to engage them in housing solutions.

Emergency shelter and transitional housing. Springfield’s Continuum of Care conducts an annual gaps analysis to guide our priorities for creation of new projects. The gaps analysis indicates that the City has sufficient emergency shelter beds, and our point-in-time count indicates that we have sufficient shelter capacity. Similarly, the gaps analysis indicates that our system includes sufficient transitional housing.

Transition to Permanent Housing. Springfield has focused attention and resources over the last five years into creation of permanent supportive housing, especially for individuals, and are on track to meet our 2007 goals of 250 new PSH units for individuals and 50 new PSH units for families within ten years. Our most recent analysis indicates that we may have under-estimated the number of PSH units needed for families, and our CoC is making plans to address this gap.

Our CoC has created an effective rapid rehousing system over the past several years, which is effective in quickly moving homeless families and individuals with some sufficient level of income into permanent affordable housing. This system’s coverage is limited by a lack of sufficient resources. In order to address this, the City allocated a substantial amount of Emergency Solutions Grant funds to rapid rehousing. Our CoC continues to work to improve

access to and priority-setting for affordable housing, in order to assist homeless households with extremely low incomes to access housing.

Homelessness prevention. The City provides prevention resources to those who are most needy. Our Tenancy Preservation Program assists households where behavior health issues are causing eviction, by bringing in the resources to improve the issues leading to lease violations. Court programs target resources to those who are most likely to become homeless without intervention.

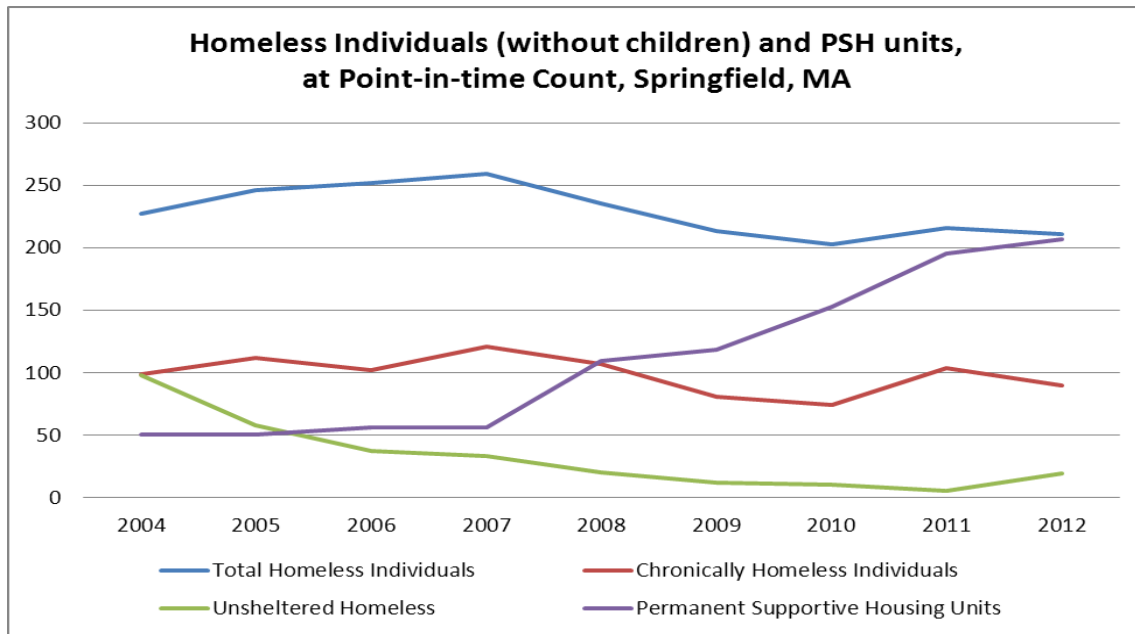
The City participates in regional discharge planning work being done by the Western Massachusetts Network to End Homelessness. This work involves meetings between providers, government representatives, and representatives from various institutional providers involved in potential discharge to homelessness, with the goal of improving referral and resources which lead to discharge into housing.

Ten-Year Plan to End Homelessness. The City is in its sixth year of implementing its Ten-Year Plan to End Homelessness, “Homes Within Reach,” which was released in January 2007. The plan addresses the needs of both chronically homeless and crisis homeless, and both individuals and families. The plan sets forth numerous strategies to achieve eight core goals: 1) permanent supportive housing for the chronic homeless; 2) homelessness prevention; 3) rapid exit from homelessness; 4) employment and training to increase incomes; 5) deeply subsidized housing; 6) improved access to mainstream services; 7) coordination and advocacy with our community, our region, and state and federal governments; and 8) accountability through data collection and analysis.

Homelessness Prevention and Rapid ReHousing Program. During FY11-12, the City continued administering a Homelessness Prevention and Rapid Rehousing Program (HPRP) grant of \$1,700,802. The City used these funds to set up one coordinated response system for families, and one system for single individuals. These systems, each organized by a single lead agency, are designed to be points of entry for the populations they serve. Catholic Charities, partnering with Friends of the Homeless and Health Care for the Homeless, became the lead provider for individuals, and was funded at \$568,499 for a three-year period. HAP Housing became the lead provider for homeless families, and was funded at \$1,055,783 over a five-year period.

The HPRP programs started in November 2009. In the last fiscal year, these programs served 34 households (funds ran out early in the fiscal year). Since initiation of the programs in 2009, they have served a total of 297 unduplicated households. HPRP funds were exhausted during the past fiscal year. The City has used Emergency Solutions Grant funds to continue the system set up with HPRP funds.

Point-in-Time Count. Springfield’s January 2012 point-in-time count showed that Homes Within Reach continues to be effective in reducing street homelessness; the count identified 16 individuals on the street (down from a high of 98 individuals on the street in 2004).



The January 2012 count identified 206 homeless individuals and 166 homeless families in the City. The January point-in-time count showed a stable number of homeless families, after six years of annual increases in family homelessness. The rise in family homelessness is a national trend, and is believed to be caused by a sluggish economy and the high rate of foreclosures over the past several years.

The state has transformed its response to homelessness with its establishment of the HomeBase Program in August 2011, and with new program regulations in 2012. It is hoped that the program will result in a decrease in family homelessness in the upcoming year.

Regional Response to Homelessness. Springfield has continued to make progress toward our goal of engaging our regional partners in the goal of ending homelessness. With state funding, the Western Mass Regional Network to End Homelessness hired a director and a data analyst in FY09-10. The Network's goal is to establish housing first as the appropriate response to homelessness throughout the region.

At the end of the current fiscal year, the Springfield CoC expanded to become the Springfield/Chicopee/Holyoke/Westfield/Hampden County CoC. Springfield expects that this expansion will support improved regional homelessness planning and coordination.

Creation of Permanent Supportive Housing Units. Providers in Springfield created 16 permanent supportive housing (PSH) opportunities for chronically homeless individuals in FY11-12, added to the 143 housing opportunities for chronically homeless individuals that had previously been created. In the middle of the 6th year of Springfield's ten-year plan, the City has created 67% of the City's 10-year goal of 250 PSH units.

Homeless Management Information System (HMIS). The City uses Social Solutions' Efforts to Outcomes (ETO) programs for its HMIS. In FY11-12, the City provided usable data for the

Annual Homeless Assessment Report (AHAR) for the first time, in the category Emergency Shelter-Individuals. Our HMIS manager has been working with providers to expand the number of entities using HMIS and to improve data quality. In 2012, the City expects to be able to provide usable AHAR data in all categories.

Leadership: Continuum of Care and Ten-Year Plan Implementation Committee

Leadership for the City's homelessness initiatives originates from both the Ten-Year-Plan Implementation Committee and the Continuum of Care. The two committees share several common members. The CoC serves to identify issues at the service level that the Implementation Committee seeks to address at the policy level.

The CoC has regular monthly meeting, attended by 30-40 individuals. The meetings are scheduled on a regular date (the third Thursday of the month), with agendas sent out in advance. The Implementation Committee meets annually, and focuses on our community's progress toward achieving the goals set out in the Ten-Year Plan, and addressing barriers to achieving those goals.

E. Other Actions

i. Addressing Obstacles to Meeting Underserved Needs

While there are numerous obstacles to serving underserved needs and subpopulations in Springfield, the three primary obstacles are:

- The coordination of resources from multiple funding sources across various agencies and providers. Each funding source has its own eligibility, definitions and objectives.
- Lack of sufficient resources to engage and serve special needs sub-populations.
- A lack of a regional approach to meeting the needs of people in Springfield; within the region, the majority of low-income individuals live within the City, and communities outside of Springfield are not engaged in a concentrated way to address the needs of this population at a regional level.

During FY 11-12, the City worked to overcome these obstacles by advocating for legislative change, when appropriate; providing technical and financial assistance; and continued implementation of the City's ten year plan to end homelessness.. The City continued to advocate for a regional approach for addressing income inequity throughout the region, and is participating in a regional housing planning initiative funded by a Sustainable Communities grant.

ii. Foster and Maintain Affordable Housing

The City of Springfield's population, according to the 2010 United States census, is 153,060. According to census data, nearly 60% of Springfield's households are low or moderate income and there are 39,273 people living in poverty. This figure represents close to 27% of the

population of Springfield.

Springfield has 61,706 housing units. Of this number, 50% are owner occupied and 50% are rental units. According to the 2010 census, there are 28,513 occupied rental units. Of these rental housing units, 10,522 are occupied by households with a public housing certificate (Section 8 or Mass Rental Voucher) or are legally deed-restricted to provide affordable housing to low-income households. Nearly 37% of Springfield's rental stock provides affordable housing to low-income persons.

Widespread poverty and the City's aged housing stock create an enormous demand for safe, affordable housing. However, the City's high concentration of poverty and associated social problems, along with the fact that households impacted by concentrated poverty are predominantly minority, suggest that significant creation of new affordable rental units in the City may have negative consequences in terms of providing existing City residents with economic opportunity and fair housing choices

The City's primary response to the need for safe affordable housing in the City is funding for preservation and rehabilitation of existing housing stock (including housing subject to expiring use restrictions), and initiatives which support affordable homeownership opportunities. The City uses HOME funds to provide tenant-based rental assistance, a strategy that both supports housing affordability and addresses the concentration of poverty. The City encourages its partner agencies and municipalities to assist in simultaneously addressing affordability and concentrated poverty through use of mobile housing resources such as Section 8 vouchers, and through creation of affordable housing throughout the Springfield metropolitan area.

Springfield set and accomplished the following goals for FY 11-12. Each short-term goal is a direct response to identified community housing needs.

Goal	Proposed	Accomplished
Improve the quality of rental housing stock through rehabilitation	→ 20 rehabilitated rental units	→ 15 units
Ensure the availability of affordable rental housing through multi-family rental production and preservation	→ 10 units created through rental production program → 50 households assisted through TBRA program	→ 15 units → 60 households
Increase homeownership among low-income households	→ 100 households assisted through the Homebuyer Assistance Program → 10 units benefiting from the project based homeownership program	→ 82 households → 5 units
Improve the quality of owner-occupied housing thereby permitting low-income owners	→ 15 units	→ 32 units

to remain in safe housing		
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iii. Eliminate Barriers to Affordable Housing

Although Western Massachusetts is a more affordable housing market than the metro-Boston area, public policies such as land-use controls, zoning ordinances, and growth limits have greatly impacted the development of new housing. Many communities throughout the Pioneer Valley have adopted policies which require increased lot size for residential properties, have created protective open space and agricultural zones to limit residential development and have established lengthy review processes for new developments. These actions have directly impacted the cost of housing development, and effectively halted affordable housing development. Additionally, Massachusetts communities operate under Proposition 2 ½, which restricts the ability to raise local revenues. For many communities, this restriction is a disincentive to develop housing, especially multi-family housing. As the cost of municipal services and education are deemed greater than the tax revenue, communities are reluctant to reduce barriers.

The City of Springfield has a successful track record in overcoming traditional barriers to affordable housing in order to increase the availability of decent affordable housing for all individuals. According to the Commonwealth of Massachusetts' Department of Housing and Community Development, Springfield ranks 5th in the state, with 17.4% of its housing stock dedicated to affordable housing. Springfield policies of zoning, land use, and public financing greatly encourage affordable housing.

The City has undertaken proactive steps to eliminate barriers to affordable housing. Specifically, during FY11-12 the City:

- Maintained an inventory of municipally owned land that is suitable for the development of housing;
- Aggressively pursued tax-taking of properties to be utilized to promote the goals of its housing strategy;
- Worked with local lenders and non-profit agencies to provide first-time homebuyer education and counseling;
- Provided housing search and relocation assistance to households residing in sub-standard rental units and to persons experiencing homelessness;
- Supported project applications for affordable housing resources including LIHTC, HIF, HSF and HOME; and
- Provided leadership for the regional planning process to end homelessness, advocating that affordable housing needs be considered on a regional basis.

iv. Overcome Gaps in Institutional Structures and Enhance Coordination

A collaborative approach is utilized by the City of Springfield to implement programs and projects that involve the use of entitlement funding. With the Office of Community Development (OCD) as the lead agency, the ConPlan has been completed with direct involvement of a number of City departments. Although this collaborative approach is working, the City works continuously to identify gaps of service and coordinates efforts to ensure that

necessary actions are taken to fill the gaps.

The Office of Community Development administered and implemented programs described in the Five Year Consolidated Plan and Annual Action Plans.

Key Staff includes: Director of Community Development
 Deputy Director of Neighborhoods
 Deputy Director of Economic Development
 Deputy Director of Planning
 Director of Housing
 Director of Administration and Finance

To implement the City's strategy, during FY11-12 these departments utilized private industry, non-profit organizations, including CBDO's, CHDO's, and City departments. The utilization of such a broad base of organizations enabled the City to address its community development, housing, homeless and special needs objectives. However, while the number and abilities of the organizations and departments involved are an institutional strength, the City constantly works to coordinate the projects and programs. Such coordination is integral to the success of the Plan. During the past OCD continued to find success through its efforts to coordinate with these organizations and departments.

During 2011-2012 program year areas of particular strength included:

- Programs funded in part or in whole with entitlement funds were measured using HUD's performance measurement system.
- Coordination of activities undertaken by multiple city departments toward the goal of neighborhood stabilization.
- The City's strong homeless provider network is a particularly important strength of the delivery system, especially the components of the Plan that pertain to the implementation of the 10 year plan to end chronic homelessness in Springfield..

v. Improve Public Housing and Resident Initiatives

Each year, the Springfield Housing Authority produces an Annual Plan, which includes numerous goals and objectives for public housing and resident initiatives.

In its current Annual Plan, the Springfield Housing Authority committed to the following in their strategy for addressing the housing needs for families in the jurisdiction and on the waiting list:

GOAL: Increase the availability of decent, safe, and affordable housing.

- Apply for additional rental vouchers;
- Leverage private or other public funds to create additional housing opportunities;
- Federalize state family housing units: 150 units at Reed Village, 196 units at Duggan Park, and 136 units at Robinson Gardens;

- Achieve High Performer status for public housing and Section 8 management;
- Increase customer satisfaction in the admissions department, the rental assistance department, and in the management of public housing;
- Modernize state public housing units that are federalized;
- Provide voucher mobility counseling and conduct outreach to potential voucher landlords; and
- Expand the voucher homeownership program.

GOAL: Improve community quality of life and economic vitality

- Implement measures, including flat rents, to promote a broad range of income households in its developments;
- Increase security through Neighborhood Watch, resident initiatives, and collaboration with the Springfield Police Department and other law enforcement entities;
- Offer an array of programs for youth and adult members of the community; and
- Consider designation of certain developments for particular resident groups (elderly, persons with disabilities).

GOAL: Promote self-sufficiency and asset development of assisted households

- Increase the number of percentage of employed persons in assisted families through in-house maintenance apprenticeship and computer training;
- Operate an educational center to teach computer skills to residents; and
- Coordinate with other agencies to provide supportive services to increase independence for the elderly and families with disabilities.

GOAL: Ensure Equal Opportunity in Housing for All Americans

- Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion, national origin, sex, familial status, and disability;
- Undertake affirmative measures to provide a suitable living environment for families in assisted living, regardless of race, color, religion, national origin, sex, familial status, and disability; and
- Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required.

vi. Evaluate and Reduce Lead Based Paint Hazards

Prevalence of Lead-Based Paint Hazards Springfield is defined as a "high risk" community for lead poisoning by the Commonwealth's Department of Public Health. Of Springfield's total of 61,172 housing units, 36.3% were built prior to 1940. A full 89.9% were built pre-1979 and are therefore likely to contain lead-based products.

The Lead Hazards section of Environmental Defense "Scorecard", co-sponsored by the Alliance to End Childhood Lead Poisoning, indicates that there are 6,207 "high-risk" units in Springfield, meaning housing units built before 1950 and occupied by families living below the poverty level.

The Scorecard ranks census tracts by the potential lead hazards; Springfield includes the top-ranked tract in Massachusetts. Scorecard's summary of Lead Hazards clearly documents a high level of potential lead hazards within the City.

SUMMARY OF LEAD HAZARDS – CITY OF SPRINGFIELD

Neighborhood	Number Of Units at High Risk*	Units Built Pre-1950	Units With Low Income	Children Under 5 Living In Poverty
Sixteen Acres	216	850	709	344
Six Corners	730	1,800	1,200	590
Bay	240	700	450	200
Brightwood	194	650	840	292
East Springfield	160	1,300	300	160
Forest Park	1,282	6,330	1,828	771
Indian Orchard	314	1,770	643	249
Liberty Heights	575	3580	1,350	563
McKnight	380	1,100	550	200
Memorial Square	301	540	911	410
Metro Center	530	1,330	920	200
Old Hill	320	910	510	300
Pine Point	235	1,480	650	432
South End	470	1,260	740	341
Upper Hill	260	1,500	330	270
TOTAL	6,207	25,100	11,931	5,322

Source: Scorecard/Environmental Defense

*This measure is the number of housing units that were built before 1950 and are occupied by families living below the poverty level.

The City has aggressively sought to improve the quality of its affordable housing stock. The City is a co-applicant this year with the Massachusetts Department of Housing Community Development for a Lead Hazard Control Grant.

The City uses federal dollars to evaluate and reduce lead based paint hazards. CDBG funds support the Division of Code Enforcement, which conducted over 4,000 inspections within target areas. In accordance with Mass lead laws, lead based paint hazards determination is undertaken during all state sanitary inspections in units that house children under 6 years of age.

Lead abatement activities were completed on properties under the state lead abatement financing program, and all project-based and multi-family units funded the HOME funds.

vii. Ensure Compliance with Program and Comprehensive Planning Requirements

The City strives to improve its compliance and sub-recipient management system to achieve efficient administration of our federal programs by:

- Tracking accomplishments and performance measurement data and entering this information on HUD's IDIS system.
- Detailed scope of services and budgets will help the city measure its success with goals and outcomes for the performance measurement system.
- A master contract list managed by the Office of Community Development used to track projects from initiative through closeout.

In FY 11-12, CDBG subrecipients generally performed their work in accordance with their scope of service and achieved a national objective. For organizations that required additional guidance, program monitors provided technical assistance and, in some cases, withheld funds until said objectives were met.

During this program year with input from HUD, the City continued to improve the system used to monitor projects and programs paid for in whole or in part with entitlement funds, including CDBG, HOME, ADDI, HOPWA and ESG, including improvements to the long term compliance process and increased use of the logic model in RFP's and contract scopes of services and budgets.

viii. Reduce Number of Persons Living Below the Poverty Level

Almost 27% of Springfield households live in poverty (\$15,020 for a family of three in 2002). Over a third (33.9%) of children under 18 live in poverty, giving the City one of the highest child poverty rates in the state (Census 2000). The rate is higher for Latino families, with 58% of children under 18, and 74% of children under five living in poverty. Of all household types, single-parent households headed by women are the poorest, with 62% with children under age five living in households with poverty-level incomes. In addition 87% of students in the City's Public Schools are classified as low income.

During FY11-2012, the City worked to reduce the number of families living in poverty. Specific actions to provide housing opportunities, economic development opportunities, adult basic education, and job training programs, financial education and financial literacy programs, life skills counseling, transportation, day-care, health and other support services included:

- Continued implementation of the City's 10 Year Plan to End Homelessness.
- Funding numerous human service programs that delivered programs for at-risk youth and adults that provided self-sufficiency training and employment services.

The Community Development, Housing and Neighborhood Services, Health and Human Services and Economic Development offices, made a concerted and focused effort to independently address poverty issues during this program year. Further, the City continued to

place strong emphasis on development partnerships with neighborhood organizations, private corporations, state and federal social service agencies and economic development agencies, nonprofit service providers and impacted parties who are residents of Springfield.

The City also incorporated the services and programs provided by the Massachusetts Career Development Institute (MCDI) into its anti-poverty strategy. MCDI administers job training, adult basic education, on the job training related programs for incumbent workers, the unemployed, the underemployed, welfare recipients, dislocated workers, at-risk youth, and the homeless. As one of only two major skills centers in the county, MCDI continues to play an important role in the City's economic development and anti-poverty strategy.

MCDI provides basic instruction in precision tooling and manufacturing program for those Springfield residents who are underemployed or incumbent workers looking to start a career in the machine industry. The program will expose students via hands on computer simulation to CNC machining equipment, academic remediation and will provide economic opportunities for the low income persons by creating jobs.

MCDI provides healthcare training program for those Springfield residents looking to start a career field related to nurses 'aides/home health aides and medical billing and coding. The program will be augmented with contextualized ABE which includes reading, writing and math associated with the healthcare occupation. Job readiness and employability will be incorporated through career services; assistance with internship and job placement will be provided through the program. The training program will provide economic opportunities for low income persons by creating jobs. Two jobs were created during the 2011-2012 FY in the healthcare field.

Leveraging Resources

During 2011-2012 the City of Springfield attracted and utilized significant non-entitlement funds. The sources of these funds include federal grants, local and state bonds, Low-Income Housing Tax Credits, State Affordable housing funds, resources from numerous State agencies, private foundation grants, and private financing. A summary that details the source, dollar value and use of funds is included in the table on page 78.

x. Citizen Comments/Citizen Participation

FY 11-2012 Action Plan

During the development of the Annual Action Plan the City held a public hearing was held on January 25, 2011 at the Chestnut Accelerated School, 355 Plainfield Street where the majority of the funds would be spent. Two hearings were scheduled, but do to unforeseen weather; the hearing that was scheduled on January 18, 2011 was canceled. The hearing was held to obtain input from residents and to identify priority community needs. The City's major initiatives were Code Enforcement, Public Infrastructure, Quality of Life Issues, Parks & Public Facilities, Workforce Development, Economic Development, Commercial Districts, Youth, Elderly, Special Needs Persons, Persons with HIV/AIDS, Homeless Persons, Affordable Housing and Homebuyer Counseling and Assistance. The City advertised the public hearings in the Springfield Republican newspaper, the Neighborhoods Plus section of the Republican and the Spanish Newspaper, LaVoz. The City also mailed out a flyer from OCD's extensive mailing list. A summary of comments received during these hearings was included as part of the final Annual Action Plan submitted to HUD in May 2011.

The Draft Action Plan was available for public review and comment from April 8th through May 9, 2011 at multiple locations to increase likelihood of citizen participation, including the Office of Community Development, 1600 East Columbus Avenue; Office of Housing, 1600 East Columbus Avenue; Office of Planning and Economic Development, 70 Tapley Street and the Office of Health & Human Services, 95 State Street. An electronic version was posted on the City's Website at www.cityofspringfield.com.

A public hearing to obtain comments on the Draft Annual Action Plan was held on April 13th at 5:00 PM, 36 Court Street in Room 220.

Citizen Comments on the Plan. David Gaby, a concerned citizen spoke on behalf of McKnight CDC. He is commenting on homeowner rehab of the McKnight neighborhoods and what he would like to done to homes in the neighborhood. He also made mention to using funds towards a paint program. Ms. Buono explained to Mr. Gaby and the other residents in attendance, that the meeting was for input on the DRAFT Action Plan that was available at the time for public comment. The comments Mr. Gaby is making should have been made at the public hearings to obtain input for the Action Plan.

No further comments were received.

Consolidated Annual Performance Evaluation and Review (CAPER)

An executive summary of the CAPER for the fiscal year that commenced on July 1, 2011 and ended on June 30, 2012 (FY 11-2012) was posted online and available for public review from August 31, 2012 through September 14, 2012 and a public hearing was held on September 11th at 5:00, at Springfield City Hall in Room 220. During the review period copies of the Draft CAPER were available to all Springfield's residents, at the following locations:

- Office of Planning & Economic Development, 70 Tapley Street;
- Office of Community Development, 1600 E. Columbus Avenue;

- Office of Housing, 1600 E Columbus Avenue, 1st Floor
- Department of Health and Human Services, 95 State Street
- http://www.springfieldcityhall.com/cos/Services/dept_cd.htm

An announcement about the hearing and the availability of the draft document was published in English and Spanish in the Springfield Republican on August 24, 2012 and published in the Neighborhoods Plus Section of the Republican on September 5, 2012. A flyer was mailed to persons and organizations included on the Office of Community Development's extensive mailing list. The advertisement also solicited written feedback from Springfield residents. No comments were received.

xi. Sources of Funds

The City of Springfield (the "City") expects to receive amounts allocated under HUD Formula grant programs and through program income during the year to address the priority needs and objectives identified in the City's strategic plan.

SOURCES OF FUNDS

CDBG	\$ 3,717,871.00
HOME	\$ 1,591,738.00
HOPWA	\$ 471,919.00
ESG	\$ 281,134.00
	\$
Subtotal	\$ 6,062,662.00
Total Estimated Program Income for FY2011-2012	
CDBG	\$ 250,000.00
HOME	\$ 150,000.00
Grant funds from previous years for which the planned use has not been included in prior statements or plans	
HOME	\$ 185,000.00
CDBG	\$ 400,000.00
TOTAL ENTITLEMENT FUNDING SOURCES	\$ 7,047,662.00

Federal funds from non-entitlement sources were used for toward programs and projects underway in Springfield during the fiscal year. *(NOTE: Many of the following sources of funds are intended to be utilized over a period of several years.)*

Other Sources of Funds Expended during 2011-2012

PROJECT	EXPENDITURE	SOURCES OF FUNDS
South End Development	\$ 1,053,115	City of Springfield Bond
Chapman Valve Development	\$ 12,238	City of Springfield Bond
Neighborhood Stabilization	\$ 1,374,611	Federal - HUD
	\$ 245,913	State - DHCD
Streets & Sidewalks	\$ 3,626,553	Chapter 90
Neighborhood Development - Demolition Program	\$ 323,181	City of Springfield Bond
ARRA Funds	\$ 106,186	CDBG-R Federal – HUD
	\$ 323,522	HPRP – Federal – HUD
Housing Initiatives		
	\$ 599,498	DHCD-Heartwap
	\$ 550,000	DHCD – Home
	\$ 30,000	Federal Home Loan Bank
	\$ 1,950,000	Affordable Housing Trust Fund
	\$ 9,465,921	Private Financing
	\$ 85,466	Mass Housing Investment Corp
	\$ 23,149,446	Tax Credit Equity
Homeless Initiatives		
	\$ 387,091	HUD-Shelter Plus Care
	\$ 1,086,303	HUD-McKinney Grant
	\$ 2,818,157	Health Care for the Homeless-5 yr

Vendors and service providers provide the required ESG match.

As a component of their applications and monthly reports, each provider must detail their matching funds. Resources used include:

Department of Social Services
 Department of Transitional Assistance
 Mass Bar Foundation
 Department of Mental Health
 Department of Transitional Assistance
 SMOC/CSBG
 HRSA

The City also anticipates it will use publicly owned land to further its objectives.

City-owned properties will be used to further affordable housing, citizen participation and economic development objectives.

The City, through its Tax Title foreclosure process, strives to create as much affordable housing as is feasible either through public auction or via a Request for Proposals process. The City is currently devising a city-wide, neighborhood-specific housing strategy geared towards maximizing homeownership.

E. Low Mod Calculation

LOW/MOD CALCULATION-FY12-FEDERAL YEAR 2011

Total Expenditures		\$	4,536,998.53
Less:			
Planning and Administration			<u>(779,573.45)</u>
		\$	3,757,425.08
Activities Categorized as Slum & Blight			
Activity			
Historic Restoration	2990	\$	(6,700.00)
Bond Payment	3553	\$	<u>(393,442.35)</u>
Total Expenditures qualifying as Low/Mod		\$	3,357,282.73
Percentage Benefit			89.35%

LOW/MOD MULTI-YEAR CALCULATION

FY09	\$	3,725,668.74
FY10	\$	4,913,730.97
FY11	\$	3,757,425.08
TOTAL	\$	8,639,399.71
FY09	\$	3,188,306.88
FY10	\$	4,310,007.94
FY11	\$	3,357,282.73
TOTAL	\$	7,498,314.82
Percentage Benefit		86.79%

Annual Performance Report Reconciliation

FEDERAL YEAR 2011-FISCAL YEAR 2012				
Annual Performance Report Reconciliation-HOME Entitlement				
Beginning Balance				0.00
Amount Received (Prior Year Report)				
Program Income				
	Comm. Dev/Office of Housing			157,265.89
Amount Expended				<u>(144,740.79)</u>
		Balance on Hand		12,525.10
Detail-Program Income Draws				
Draws:				
	HUD#		Amount	
	#3698		50,288.76	
	#3612		19,496.00	
	#3569		531.00	
	#3734		531.60	
	#3741		3000.00	
	#3661		70,893.43	
9/14/2012	#2879		12,525.10	
Expenditure Category Data:				
TBRA				70,847.36
PBHO-non-chdo				70,893.43
First Time Homebuyer				<u>3,000.00</u>
	Total 2012 Program Income			144,740.79

HOME Activities Total

HOME ACTIVITIES TOTALS-FY2012-FEDERAL YEAR 2011

1. Homebuyer Assistance		
PBHO-CHDO		\$ 531,766.97
PBHO-NON-CHDO		<u>\$ 435,050.00</u>
	Total	\$ 966,816.97
2. Multi-Family Production		
PBHO-CHDO		\$ -
PBHO-NON-CHDO		<u>\$ 1,032,326.50</u>
	Total	\$ 1,032,326.50
3. First Time Homebuyer	Total	\$ 246,000.00
4. Tenant Based Rental Assistance (TBRA)		
	Total	\$ 332,580.20
5. Administration		
	Total	\$ 172,379.08

HOME TOTAL	\$2,750,102.75
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Home Administration Cap

Entitlement	\$1,591,660.00
Program Income	<u>\$ 157,265.89</u>
Total	\$1,748,925.89
Amount Expended	\$ 172,379.08
Percentage	9.86%

Annual Performance Report HOME Program

U.S. Department of Housing
and Urban Development
Office of Community Planning
and Development

OMB Approval No. 2506-0171
(exp. 8/31/2009)

Public reporting burden for this collection of information is estimated to average 2.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

The HOME statute imposes a significant number of data collection and reporting requirements. This includes information on assisted properties, on the owners or tenants of the properties, and on other programmatic areas. The information will be used: 1) to assist HOME participants in managing their programs; 2) to track performance of participants in meeting fund commitment and expenditure deadlines; 3) to permit HUD to determine whether each participant meets the HOME statutory income targeting and affordability requirements; and 4) to permit HUD to determine compliance with other statutory and regulatory program requirements. This data collection is authorized under Title II of the Cranston-Gonzalez National Affordable Housing Act or related authorities. Access to Federal grant funds is contingent on the reporting of certain project-specific data elements. Records of information collected will be maintained by the recipients of the assistance. Information on activities and expenditures of grant funds is public information and is generally available for disclosure. Recipients are responsible for ensuring confidentiality when public disclosure is not required.

This form is intended to collect numeric data to be aggregated nationally as a complement to data collected through the Cash and Management Information (C/M) System. Participants should enter the reporting period in the first block. The reporting period is October 1 to September 30. Instructions are included for each section if further explanation is needed.

Submit this form on or before December 31.	This report is for period (mm/dd/yyyy)		Date Submitted (mm/dd/yyyy)
Send one copy to the appropriate HUD Field Office and one copy to:	Starting	Ending	
HOME Program, Rm 7176, 451 7th Street, S.W., Washington D.C. 20410	07/01/2011	06/30/2012	09/28/2012

Part I Participant Identification

1. Participant Number M-11-MC-25-0209	2. Participant Name City of Springfield		
3. Name of Person completing this report Geraldine McCafferty		4. Phone Number (Include Area Code) (413) 787-65	
5. Address 1600 E. Columbus Ave.	6. City Springfield	7. State MA	8. Zip Code 01103

Part II Program Income

Enter the following program income amounts for the reporting period: in block 1, enter the balance on hand at the beginning; in block 2, enter the amount generated; in block 3, enter the amount expended; and in block 4, enter the amount for Tenant-Based rental Assistance.

1. Balance on hand at Beginning of Reporting Period	2. Amount received during Reporting Period	3. Total amount expended during Reporting Period	4. Amount expended for Tenant-Based Rental Assistance	5. Balance on hand at end of Reporting Period (1 + 2 - 3) = 5
\$0	\$157,265.89	\$144,740.79	\$0	\$12,525.10

Part III Minority Business Enterprises (MBE) and Women Business Enterprises (WBE)

In the table below, indicate the number and dollar value of contracts for HOME projects completed during the reporting period.

	a. Total	Minority Business Enterprises (MBE)				f. White Non-Hispanic
		b. Alaskan Native or American Indian	c. Asian or Pacific Islander	d. Black Non-Hispanic	e. Hispanic	
A. Contracts						
1. Number	8	0	0	0	0	8
2. Dollar Amount	\$1,798,069	\$0	\$0	\$0	\$0	\$1,798,069
B. Sub-Contracts						
1. Number	47	0	0	8	6	33
2. Dollar Amount	\$1,312,590	\$0	\$0	\$97,419	\$89,158	\$1,126,013
	a. Total	b. Women Business Enterprises (WBE)	c. Male			
C. Contracts						
1. Number	8	0	8			
2. Dollar Amount	\$1,798,069	\$0	\$1,798,069			
D. Sub-Contracts						
1. Number	47	0	47			
2. Dollar Amounts	\$1,312,590	\$0	\$1,312,590			

Part IV Minority Owners of Rental Property

In the table below, indicate the number of HOME assisted rental property owners and the total dollar amount of HOME funds in these rental properties assisted during the reporting period.

	a. Total	Minority Property Owners				f. White Non-Hispanic
		b. Alaskan Native or American Indian	c. Asian or Pacific Islander	d. Black Non-Hispanic	e. Hispanic	
1. Number	3	0	0	0	1	2
2. Dollar Amount	0	\$0	\$0	\$0	\$250,000	\$1,053,169

Part V Relocation and Real Property Acquisition

Indicate the number of persons displaced, the cost of relocation payments, the number of parcels acquired, and the cost of acquisition. The data provided should reflect only displacements and acquisitions occurring during the reporting period.

	a. Number	b. Cost				
1. Parcels Acquired	0	\$0				
2. Businesses Displaced	0	\$0				
3. Nonprofit Organizations Displaced	0	\$0				
4. Households Temporarily Relocated, not Displaced	0	\$0				
Households Displaced	a. Total	Minority Business Enterprises (MBE)				f. White Non-Hispanic
		b. Alaskan Native or American Indian	c. Asian or Pacific Islander	d. Black Non-Hispanic	e. Hispanic	
5. Households Displaced - Number	0	0	0	0	0	0
6. Households Displaced - Cost	\$0	\$0	\$0	\$0	\$0	\$0

Section 3 Summary Report
Economic Opportunities for
Low – and Very Low-Income Persons

U.S. Department of Housing
and Urban Development
Office of Fair Housing
And Equal Opportunity

OMB Approval No: 2529-0043
(exp. 11/30/2010)

HUD Field Office: **Boston**

Section back of page for Public Reporting Burden statement

1. Recipient Name & Address: (street, city, state, zip) City of Springfield 1600 E. Columbus Ave. Springfield, MA 01103		2. Federal Identification: (grant no.) M11MC250209		3. Total Amount of Award: \$1,591,660	
		4. Contact Person Geraldine McCafferty		5. Phone: (Include area code) 413-787-6500	
		6. Length of Grant: 1 year		7. Reporting Period: 7/1/2011-6/30/2012	
8. Date Report Submitted: 8/30/2012		9. Program Code: (Use separate sheet for each program code) s		10. Program Name: HOME Assistance	

Part I: Employment and Training (** Columns B, C and F are mandatory fields. Include New Hires in E & F)

A Job Category	B Number of New Hires	C Number of New Hires that are Sec. 3 Residents	D % of Aggregate Number of Staff Hours of New Hires that are Sec. 3 Residents	E % of Total Staff Hours for Section 3 Employees and Trainees	F Number of Section 3 Trainees
Professionals	0	0			1
Technicians	0	0			0
Office/Clerical	0	0			0
Construction by Trade (List)					
Trade					
Trade					
Trade					
Trade					
Trade					
Other (List)					
Electrical	1	1			1
Carpentry	1	0			1
Laborer	1	0			1
Demolition	1	0			1
Total	4	3			5

* Program Codes
1 = Flexible Subsidy
2 = Section 202/811

3 = Public/Indian Housing
A = Development,
B = Operation
C = Modernization

4 = Homeless Assistance
5 = HOME
6 = HOME State Administered
7 = CDBG Entitlement

8 = CDBG State Administered
9 = Other CD Programs
10 = Other Housing Programs

Part II: Contracts Awarded

1. Construction Contracts:

A. Total dollar amount of all contracts awarded on the project	\$ 1,186,065
B. Total dollar amount of contracts awarded to Section 3 businesses	\$ 496,454
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	41.90 %
D. Total number of Section 3 businesses receiving contracts	8

2. Non-Construction Contracts:

A. Total dollar amount all non-construction contracts awarded on the project/activity	\$ 70,014
B. Total dollar amount of non-construction contracts awarded to Section 3 businesses	\$ 0
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	0 %
D. Total number of Section 3 businesses receiving non-construction contracts	0

Part III: Summary

Indicate the efforts made to direct the employment and other economic opportunities generated by HUD financial assistance for housing and community development programs, to the greatest extent feasible, toward low- and very low-income persons, particularly those who are recipients of government assistance for housing. (Check all that apply.)

- ☒ Attempted to recruit low-income residents through: local advertising media, signs prominently displayed at the project site, contracts with the community organizations and public or private agencies operating within the metropolitan area (or nonmetropolitan county) in which the Section 3 covered program or project is located, or similar methods.
- ☒ Participated in a HUD program or other program which promotes the training or employment of Section 3 residents.
- ☒ Participated in a HUD program or other program which promotes the award of contracts to business concerns which meet the definition of Section 3 business concerns.
- ☒ Coordinated with Youthbuild Programs administered in the metropolitan area in which the Section 3 covered project is located.
- _____ Other; describe below.

Public reporting for this collection of information is estimated to average 2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB number.

Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u, mandates that the Department ensures that employment and other economic opportunities generated by its housing and community development assistance programs are directed toward low- and very-low income persons, particularly those who are recipients of government assistance housing. The regulations are found at 24 CFR Part 135. The information will be used by the Department to monitor program recipients' compliance with Section 3, to assess the results of the Department's efforts to meet the statutory objectives of Section 3, to prepare reports to Congress, and by recipients as self-monitoring tool. The data is entered into a database and will be analyzed and distributed. The collection of information involves recipients receiving Federal financial assistance for housing and community development programs covered by Section 3. The information will be collected annually to assist HUD in meeting its reporting requirements under Section 808(e)(6) of the Fair Housing Act and Section 916 of the HCDA of 1992. An assurance of confidentiality is not applicable to this form. The Privacy Act of 1974 and OMB Circular A-108 are not applicable. The reporting requirements do not contain sensitive questions. Data is cumulative; personal identifying information is not included.

H. Financial Summary Grantee Performance

Financial Summary
Grantee Performance Report
Community Development Block Grant Program

U. S. Department of Housing
and Urban Development
Office of Community Planning
and Development

OMB Approval No. 2506-0077 (Exp. 5/31/97)

1. Name of Grantee City of Springfield	2. Grant Number B-10-MC-25-0023	3. Reporting Period From 7/1/11 to 6/30/12
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Part I: Summary of CDBG Resources			
1. Unexpended CDBG funds at end of previous reporting period (Balance from prior program years)			4,834,231
2. Entitlement Grant from Form HUD-7082			3,717,950
3. Surplus Urban Renewal Funds			-
4. Section 108 Guaranteed Loan Funds (Principal Amount)			-
5. Program Income received by:	Grantee (Column A)	Subrecipient (Column B)	
a. Revolving Funds	\$ -	\$ -	
b. Other (identify below, if more space is needed use an attachment)			
Program income	202,086		
c. Total Program Income (sum of columns a and b)			202,086
6. Prior Period Adjustments (if column is a negative amount, enclose in brackets)			-
7. Total CDBG Funds available for use during this reporting period (sum of lines 1 through 5)			8,754,267
Part II: Summary of CDBG Expenditures			
8. Total expenditures reported on Activity Summary, forms HUD-4949.2 & 4949.2A			4,536,998
9. Total expended for Planning & Administration (form HUD-4949.2)		\$ 779,573	
10. Amount subject to Low/Mod Benefit Calculation (line 8 minus line 9)		\$ 3,757,425	
11. CDBG funds used for Section 108 principal & interest payments			-
12. Total expenditure (line 8 plus line 11)			4,536,998
13. Unexpended balance (line 7 minus line 12)			4,217,268
Part III: Low/Mod Benefit This Reporting Period			
14. Total Low/Mod credit for multi-unit housing expenditures from form HUD-4949.2A			-
15. Total from all other activities qualifying as low/mod expenditures from forms HUD-4949.2 and 4949.2A			3,357,282
16. Total (line 14 plus line 15)			3,357,282
17. Low/Mod Benefit percentage			89.35%

<u>Part IV: Low/Mod Benefit for Multi-Year Certifications (Complete only if certification period includes prior years)</u>				
Program years (PY) covered in certification PY <u> 09 </u> PY <u> 10 </u> PY <u> 11 </u>				
18.	Cumulative net expenditures subject to program benefit calculation			8,639,399
19.	Cumulative expenditures benefitting low/mod persons			7,498,314
20.	Percent benefit to low/mod persons (line 19 divided by line 18)			86.79%
<u>Part V: For Public Service (PS) Activities Only: Public Service Cap Calculation</u>				
21.	Total PS expenditures from column h, form HUD-4949.2A			-
22.	Total PS unliquidated obligations from column i, form HUD-4949.2A			-
23.	Sum of line 21 and line 22			SEE
24.	Total PS unliquidated reported at the end of the previous reporting period			ATTACHED
25.	Net obligations for public services (line 23 minus line 24)			-
26.	Amount of Program Income received in the preceding year			-
27.	Entitlement Grant Amount (from line 2)			-
28.	Sum of line 26 and 27			-
29.	Percent funds obligated for Public Service Activities (line 25 divided by line 28)			%
<u>Part VI: Planning and Program Administration Cap Calculation</u>				
30.	Amount subject to planning and administrative cap (grant amount from line 2 plus line 5c)			3,920,036
31.	Amount expended for Planning & Administration (from line 9 above)			779,573
32.	Percent funds expended (line 31 divided by line 30)			19.89%

PUBLIC SERVICE CAP 15% - CALCULATION

		TOTAL EXPENDITURE	TOTAL EXEMPT	ADJUSTED TOTAL
21	Total Public Service Expenditures	688,809.01	(119,033.12)	569,775.89
22	Total PS Unliquidated Obligations	80,174.56	(35,134.48)	45,040.08
23	Sum of line 21 and 22	768,983.57	(154,167.60)	614,815.97
24	Total PS Unliquidated obligation reported at end of previous reporting period	(100,174.63)	0.00	(100,147.63)
25	Net Obligation for Public Service (line 23-line 24)	668,835.94	(154,167.60)	514,668.34
26	Amount of Program Income received in the preceding program year	200,844.60		200,844.60
27	Entitlement Grant Amount	3,717,950.00		3,717,950.00
28	Sum of lines 26 and 27	3,918,794.60		3,918,794.60
29	Percent of Funds Obligated for PS (line 25 divided by line 28)	17%		13%

Community Development Activity	Original Budget	Incr/decr	Amended Budget	Prior Year Expenditures	Expenditures FY12	Total Expenditures	Balance
Public Service							
5A	\$ 6,000.00		\$ 6,000.00		\$ 6,000.00	\$ 6,000.00	\$ -
Bing Arts Center	\$ 7,000.00	7,000.00)	\$ -			\$ -	\$ -
Blackmen of Greater Spfld	\$ 13,000.00		\$ 3,000.00		\$ 13,000.00	\$ 13,000.00	\$ -
Boy Scouts of America	\$ 5,000.00	(1,406.85)	\$ 3,593.15		\$ 2,616.98	\$ 2,616.98	\$ 976.17
Caring Health Center	\$ 5,000.00		\$ 5,000.00		\$ 4,073.00	\$ 4,073.00	\$ 927.00
Recreation Program - Pools	\$ 88,000.00	(1,008.90)	\$ 86,991.10		\$ 86,991.10	\$ 86,991.10	\$ -
Council of Churches	\$ 21,000.00		\$ 21,000.00		\$ 21,000.00	\$ 21,000.00	\$ -
Dunbar	\$ 5,000.00		\$ 5,000.00		\$ 4,400.00	\$ 4,400.00	\$ 600.00
Forest Park Zoological	\$ 5,000.00	(800.00)	\$ 4,200.00		\$ 4,200.00	\$ 4,200.00	\$ -
Friends of the Homeless	\$ 100,000.00		\$ 100,000.00		\$ 100,000.00	\$ 100,000.00	\$ -
Greater New Life - YES	\$ 7,000.00	(631.28)	\$ 6,368.72		\$ 2,868.76	\$ 2,868.76	\$ 3,499.96
Greater New Life - Recovery	\$ 7,000.00		\$ 7,000.00		\$ 3,499.98	\$ 3,499.98	\$ 3,500.02
Hungry Hill	\$ 5,000.00	(1,912.20)	\$ 3,087.80		\$ 3,087.80	\$ 3,087.80	\$ -
MLK	\$ 8,500.00	(517.50)	\$ 7,982.50		\$ 6,138.05	\$ 6,138.05	\$ 1,844.45
Mason Square Vets	\$ 12,000.00	(12,000.00)	\$ -			\$ -	\$ -
MCDI	\$ 50,000.00	(11.51)	\$ 49,988.49		\$ 49,744.76	\$ 49,744.76	\$ 243.73
Camp Star-Angelina	\$ 85,000.00		\$ 85,000.00		\$ 85,000.00	\$ 85,000.00	\$ -
Pine Point Senior Center	\$ 6,500.00	126.54)	\$ 6,373.46		\$ 5,110.16	\$ 5,110.16	\$ 1,263.30
Roca	\$ 13,000.00		\$ 13,000.00		\$ 7,399.07	\$ 7,399.07	\$ 5,600.93
Russian Community Assoc	\$ 7,500.00		\$ 7,500.00		\$ 6,066.99	\$ 6,066.99	\$ 1,433.01
Salvation Army	\$ 10,000.00	(0.50)	\$ 9,999.50		\$ 9,909.86	\$ 9,909.86	\$ 89.64
South End Community Center	\$ 23,000.00	(334.10)	\$ 22,665.90		\$ 22,665.90	\$ 22,665.90	\$ -
Spfld Boys and Girls - IO Unit	\$ 6,000.00		\$ 6,000.00		\$ 3,367.51	\$ 3,367.51	\$ 2,632.49
Spfld Boys and Girls - Summ	\$ 8,000.00	(1.64)	\$ 7,998.36		\$ 7,998.36	\$ 7,998.36	\$ -
Springfield College	\$ 5,000.00		\$ 5,000.00		\$ 2,925.00	\$ 2,925.00	\$ 2,075.00
Spfld Girls Club	\$ 7,000.00		\$ 7,000.00		\$ 4,076.14	\$ 4,076.14	\$ 2,923.86
SHA	\$ 5,000.00		\$ 5,000.00		\$ 4,224.40	\$ 4,224.40	\$ 775.60
VACA - Family	\$ 5,000.00		\$ 5,000.00		\$ 5,000.00	\$ 5,000.00	\$ -
VACA - HOME	\$ 5,000.00		\$ 5,000.00		\$ 5,000.00	\$ 5,000.00	\$ -
Square One - Access Fds	\$ 7,000.00		\$ 7,000.00		\$ 6,623.35	\$ 6,623.35	\$ 376.65
Square One - Fitness	\$ 7,500.00		\$ 7,500.00		\$ 7,500.00	\$ 7,500.00	\$ -
The Gray Housie	\$ 6,000.00		\$ 6,000.00		\$ 6,000.00	\$ 6,000.00	\$ -
Urban League	\$ 7,000.00		\$ 7,000.00		\$ 1,750.02	\$ 1,750.02	\$ 5,249.98
Western Mass Develop Coll	\$ 10,000.00	-	\$ 10,000.00		\$ -	\$ -	\$ 10,000.00
YMCA	\$ 10,000.00	(220.27)	\$ 9,779.73		\$ 9,779.73	\$ 9,779.73	\$ -
YWCA	\$ 12,000.00		\$ 12,000.00		\$ 12,000.00	\$ 12,000.00	\$ -

NNCC - Recovery	\$ 20,000.00		\$ 20,000.00		\$ 11,846.06	\$ 11,846.06	\$ 8,153.94
NNCC - Summer Fun	\$ 15,000.00		\$ 15,000.00		\$ 11,988.53	\$ 11,988.53	\$ 3,011.47
NNCC - Homeless	\$ 20,000.00		\$ 20,000.00		\$ 20,000.00	\$ 20,000.00	\$ -
NNCC - Under ground	\$ 15,000.00		\$ 15,000.00		\$ 12,124.45	\$ 12,124.45	\$ 2,875.55
NNCC - ESOL	\$ 40,000.00		\$ 40,000.00		\$ 18,906.48	\$ 18,906.48	\$ 21,052
Fair Housing	\$ 5,000.00	-	\$ 5,000.00		\$ 3,971.71	\$ 3,971.71	\$ 1,028.29
Blackmen of Greater Spfld	10,000.00	2,315.18	\$ 12,315.18	9,977.59	2,337.59	\$ 12,315.18	\$ -
Boat People SOS	7,000.00	(21.20)	\$ 6,978.80	5,690.69	1,288.11	\$ 6,978.80	\$ -
CJO Hampden County	8,000.00	(196.41)	\$ 7,803.9	7,655.07	148.52	\$ 7,803.59	\$ -
Dunbar	5,000.00	(550.00)	\$ 4,450.00	4,450.00	0.00	\$ 4,450.00	\$ -
Forest Park Zoological	7,500.00	(4,000.00)	\$ 3,500.00	0.00	3,500.00	\$ 3,500.00	\$ -
Friends of the Homeless	115,000.00		\$ 115,000.00	113,765.42	1,234.58	\$ 115,000.00	\$ -
Greater Christian New Life Center	7,000.00	(28.14)	\$ 6,971.86	0.00	6,971.86	\$ 6,971.86	\$ -
Mass Fair Housing Center	7,500.00		\$ 7,500.00	0.00	7,500.00	\$ 7,500.00	\$ -
Hungry Hill	5,000.00	(2,781.08)	\$ 2,218.92	2,218.92	0.00	\$ 2,218.92	\$ -
MLK	10,000.00	(1,832.89)	\$ 8,167.11	3,981.40	4,185.71	\$ 8,167.11	\$ -
NNCC-recovery	20,000.00		\$ 20,000.00	11,475.07	8,524.93	\$ 20,000.00	\$ -
NNCC-summer fun	10,000.00		\$ 10,000.00	2,638.71	7,361.29	\$ 10,000.00	\$ -
NNCC-underground	10,000.00		\$ 10,000.00	5,329.23	4,670.77	\$ 10,000.00	\$ -
NNCC-ESOL	0.00	35,300.24	\$ 35,300.24	11,689.63	23,610.61	\$ 35,300.24	\$ -
Pine Point CC	6,500.00	(886.13)	\$ 5,613.87	5,124.49	489.38	\$ 5,613.87	\$ -
ROCA	15,000.00	(552.50)	\$ 14,447.50	10,815.50	3,632.00	\$ 14,447.50	\$ -
Salvation Army	10,000.00		\$ 10,000.00	9,273.14	726.86	\$ 10,000.00	\$ -
Spfld Boys & Girls Club	6,000.00	(891.44)	\$ 5,108.56	2,314.96	2,793.60	\$ 5,108.56	\$ -
Springfield Girls Club	7,000.00	(18.04)	\$ 6,981.96	6,212.64	769.32	\$ 6,981.96	\$ -
SPCA	9,000.00	(1,734.60)	\$ 7,265.40	4,055.37	3,210.03	\$ 7,265.40	\$ -
Urban League	7,000.00	(0.30)	\$ 6,999.70	0.00	6,999.70	\$ 6,999.70	\$ -
TOTAL PUBLIC SERVICE	987,500.00	(1,848.60)	985,651.40	216,667.83	688,809.01	905,476.84	80,174.56
TOTAL EXEPMT - PUBLIC SERVICE							
NNCC-recovery	20,000.00		\$ 20,000.00	11,475.07	8,524.93	\$ 20,000.00	\$ -
NNCC-summer fun	10,000.00		\$ 10,000.00	2,638.71	7,361.29	\$ 10,000.00	\$ -
NNCC-underground	10,000.00		\$ 10,000.00	5,329.23	4,670.77	\$ 10,000.00	\$ -
NNCC-ESOL	0.00	35,300.24	\$ 35,300.24	11,689.63	23,610.61	\$ 35,300.24	\$ -
NNCC - Recovery	\$ 20,000.00		\$ 20,000.00		\$ 11,846.06	\$ 11,846.06	\$ 8,153.94
NNCC - Summer Fun	\$ 15,000.00		\$ 15,000.00		\$ 11,988.53	\$ 11,988.53	\$ 3,011.47
NNCC - Homeless	\$ 20,000.00		\$ 20,000.00		\$ 20,000.00	\$ 20,000.00	\$ -
NNCC - Under ground	\$ 15,000.00		\$ 15,000.00		\$ 12,124.45	\$ 12,124.45	\$ 2,875.55
NNCC - ESOL	\$ 40,000.00		\$ 40,000.00		\$ 18,906.48	\$ 18,906.48	\$ 21,093.52
	150,000.00	35,300.24	185,300.24	31,132.64	119,033.12	150,165.76	35,134.48

TOTAL NON-EXEMPT - PUBLIC SERVICE							
5A	\$ 6,000.00		\$ 6,000.00		\$ 6,000.00	\$ 6,000.00	\$ -
Bing Arts Center	\$ 7,000.00	(7,000.00)	\$ -			\$ -	\$ -
Blackmen of Greater Spfld	\$ 13,000.00		\$ 13,000.00		\$ 13,000.00	\$ 13,000.00	\$ -
Boy Scouts of America	\$ 5,000.00	(1,406.85)	\$ 3,593.15		\$ 2,616.98	\$ 2,616.98	\$ 976.17
Caring Health Center	\$ 5,000.00		\$ 5,000.00		\$ 4,073.00	\$ 4,073.00	\$ 927.00
Recreation Program - Pools	\$ 88,000.00	(1,008.90)	\$ 86,991.10		\$ 86,991.10	\$ 86,991.10	\$ -
Council of Churches	\$ 21,000.00		\$ 21,000.00		\$ 21,000.00	\$ 21,000.00	\$ -
Dunbar	\$ 5,000.00		\$ 5,000.00		\$ 4,400.00	\$ 4,400.00	\$ 600.00
Forest Park Zoological	\$ 5,000.00	(800.00)	\$ 4,200.00		\$ 4,200.00	\$ 4,200.00	\$ -
Friends of the Homeless	\$ 100,000.00		\$ 100,000.00		\$ 100,000.00	\$ 100,000.00	\$ -
Greater New Life - YES	\$ 7,000.00	(631.28)	\$ 6,368.72		\$ 2,868.76	\$ 2,868.76	\$ 3,499.96
Greater New Life - Recovery	\$ 7,000.00		\$ 7,000.00		\$ 3,499.98	\$ 3,499.98	\$ 3,500.02
Hungry Hill	\$ 5,000.00	(1,912.20)	\$ 3,087.80		\$ 3,087.80	\$ 3,087.80	\$ -
MLK	\$ 8,500.00	(517.50)	\$ 7,982.50		\$ 6,138.05	\$ 6,138.05	\$ 1,844.45
Mason Square Vets	\$ 12,000.00	(12,000.00)	\$ -			\$ -	\$ -
MCDI	\$ 50,000.00	(11.51)	\$ 49,988.49		\$ 49,744.76	\$ 49,744.76	\$ 243.73
Camp Star-Angelina	\$ 85,000.00		\$ 85,000.00		\$ 85,000.00	\$ 85,000.00	\$ -
Pine Point Senior Center	\$ 6,500.00	(126.54)	\$ 6,373.46		\$ 5,110.16	\$ 5,110.16	\$ 1,263.30
Roca	\$ 13,000.00		\$ 13,000.00		\$ 7,399.07	\$ 7,399.07	\$ 5,600.93
Russian Community Assoc	\$ 7,500.00		\$ 7,500.00		\$ 6,066.99	\$ 6,066.99	\$ 1,433.01
Salvation Army	\$ 10,000.00	(0.50)	\$ 9,999.50		\$ 9,909.86	\$ 9,909.86	\$ 89.64
South End Community Center	\$ 23,000.00	(334.10)	\$ 22,665.90		\$ 22,665.90	\$ 22,665.90	\$ -
Spfld Boys and Girls - IO Unit	\$ 6,000.00		\$ 6,000.00		\$ 3,367.51	\$ 3,367.51	\$ 2,632.49
Spfld Boys and Girls - Summ	\$ 8,000.00	(1.64)	\$ 7,998.36		\$ 7,998.36	\$ 7,998.36	\$ -
Springfield College	\$ 5,000.00		\$ 5,000.00		\$ 2,925.0	\$ 2,925.00	\$ 2,075.00
Spfld Girls Club	\$ 7,000.00		\$ 7,000.00		\$ 4,076.14	\$ 4,076.14	\$ 2,923.86
SHA	\$ 5,000.00		\$ 5,000.00		\$ 4,224.40	\$ 4,224.40	\$ 775.60
VACA - Family	\$ 5,000.00		\$ 5,000.00		\$ 5,000.00	\$ 5,000.00	\$ -
VACA - HOME	\$ 5,000.00		\$ 5,000.00		\$ 5,000.00	\$ 5,000.00	\$ -
Square One - Access Fds	\$ 7,000.00		\$ 7,000.00		\$ 6,623.35	\$ 6,623.35	\$ 376.65
Square One - Fitness	\$ 7,500.00		\$ 7,500.00		\$ 7,500.00	\$ 7,500.00	\$ -
The Gray Housie	\$ 6,000.00		\$ 6,000.00		\$ 6,000.00	\$ 6,000.00	\$ -
Urban League	\$ 7,000.00		\$ 7,000.00		\$ 1,750.02	\$ 1,750.02	\$ 5,249.98
Western Mass Develop Coll	\$ 10,000.00	-	\$ 10,000.00		\$ -	\$ -	\$ 10,000.00
YMCA	\$ 10,000.00	(220.27)	\$ 9,779.73		\$ 9,779.73	\$ 9,779.73	\$ -
YWCA	\$ 12,000.00		\$ 12,000.00		\$ 12,000.00	\$ 12,000.00	\$ -
Fair Housing	\$ 5,000.00	-	\$ 5,000.00		\$ 3,971.71	\$ 3,971.71	\$ 1,028.29
Blackmen of Greater Spfld	10,000.00	2,315.18	\$ 12,315.18	9,977.59	2,337.59	\$ 12,315.18	\$ -
Boat People SOS	7,000.00	(21.20)	\$ 6,978.80	5,690.69	1,288.11	\$ 6,978.80	\$ -
CJO Hampden County	8,000.00	(196.41)	\$ 7,803.59	7,655.07	148.52	\$ 7,803.59	\$ -
Dunbar	5,000.00	(550.00)	\$ 4,450.00	4,450.00	0.00	\$ 4,450.00	\$ -
Forest Park Zoological	7,500.00	(4,000.00)	\$ 3,500.00	0.00	3,500.00	\$ 3,500.00	\$ -
Friends of the Homeless	115,000.00		\$ 115,000.00	113,765.42	1,234.58	\$ 115,000.00	\$ -

Greater Christian New Life Center	7,000.00	(28.14)	\$ 6,971.86	0.00	6,971.86	\$ 6,971.86	\$ -
Mass Fair Housing Center	7,500.00		\$ 7,500.00	0.00	7,500.00	\$ 7,500.00	\$ -
Hungry Hill	5,000.00	(2,781.08)	\$ 2,218.92	2,218.92	0.00	\$ 2,218.92	\$ -
MLK	10,000.00	(1,832.89)	\$ 8,167.11	3,981.40	4,185.71	\$ 8,167.11	\$ -
Pine Point CC	6,500.00	(886.13)	\$ 5,613.87	5,124.49	489.38	\$ 5,613.87	\$ -
ROCA	15,000.00	(552.50)	\$ 14,447.50	10,815.50	3,632.00	\$ 14,447.50	\$ -
Salvation Army	10,000.00		\$ 10,000.00	9,273.14	726.86	\$ 10,000.00	\$ -
Spfld Boys & Girls Club	6,000.00	(891.44)	\$ 5,108.56	2,314.96	2,793.60	\$ 5,108.56	\$ -
Springfield Girls Club	7,000.00	(18.04)	\$ 6,981.96	6,212.64	769.32	\$ 6,981.96	\$ -
SPCA	9,000.00	(1,734.60)	\$ 7,265.40	4,055.37	3,210.03	\$ 7,265.40	\$ -
Urban League	7,000.00	(0.30)	\$ 6,999.70	0.00	6,999.70	\$ 6,999.70	\$ -
TOTAL PUBLIC SERVICE	837,500.00	(37,148.84)	800,351.16	185,535.19	569,775.89	755,311.08	45,040.08
	987,500.00	(1,848.60)	985,651.40	216,667.83	688,809.01	905,476.84	80,174.56
	0.00	(0.00)	0.00	0.00	0.00	0.00	0.00

J. HOPWA Summary of Program Expenditures

Part 3 Program Expenditures and Housing Provided.

Expenditures are amounts spent for eligible activities. Do not include non-HOPWA sources or in-kind items, such as the value of services or materials provided by volunteers or by other individuals or organizations.

Exhibit E – Summary of Program Expenditures. – FY12; Federal 2010

This exhibit will provide information about available HOPWA funds and HOPWA expenditures for the program during the reporting period.

Include only expenditures made from a single competitively-awarded HOPWA grant. Please round dollar amounts to the nearest dollar.

HOPWA Funding Available	
1. Unexpended HOPWA funds at end of previous report period (this balance is \$0 in the first year of the program)	\$108,013.66
2. Amount of HOPWA grant received during period	-0-
3. Program income (e.g., loan repayments)	-0-
4. Total of HOPWA funds available during period (sum of lines 1 thru 4)	\$108,013.66

Also report the following aggregate totals by type of activity for the report period (totals equal all expenditures of HOPWA funds during this period):

HOPWA Expenditures (Totals by Eligible Activity)	
5. Expenditures for Housing Information Services	\$6,702.00
6. Expenditures for Resource Identification	-0-
7. Expenditures for Housing Assistance (equals the sum of all sites and scattered-site Housing Assistance reported in Exhibit G)	\$35,007.00
8. Expenditures for Supportive Services (equals the sum of all Exhibit H funds used)	\$55,662.63
9. Grantee Administrative Costs expended	-0-
10. Project Sponsor(s) Administrative Costs expended	\$10,642.03
11. Total of HOPWA funds expended during period (sum of lines 5 thru 10)	\$108,013.66
12. Balance of HOPWA funds at end of report period (line 4 minus line 11)	-0-

Part 3 Program Expenditures and Housing Provided.

Expenditures are amounts spent for eligible activities. Do not include non-HOPWA sources or in-kind items, such as the value of services or materials provided by volunteers or by other individuals or organizations.

Exhibit E – Summary of Program Expenditures. – FY12; Federal 2011

This exhibit will provide information about available HOPWA funds and HOPWA expenditures for the program during the reporting period.

Include only expenditures made from a single competitively-awarded HOPWA grant. Please round dollar amounts to the nearest dollar.

HOPWA Funding Available	
1. Unexpended HOPWA funds at end of previous report period (this balance is \$0 in the first year of the program)	-0-
2. Amount of HOPWA grant received during period	\$471,919.00
3. Program income (e.g., loan repayments)	-0-
4. Total of HOPWA funds available during period (sum of lines 1 thru 4)	\$471,919.00

Also report the following aggregate totals by type of activity for the report period (totals equal all expenditures of HOPWA funds during this period):

HOPWA Expenditures (Totals by Eligible Activity)	
5. Expenditures for Housing Information Services	\$17,694.00
6. Expenditures for Resource Identification	-0-
7. Expenditures for Housing Assistance (equals the sum of all sites and scattered-site Housing Assistance reported in Exhibit G)	\$117,789.76
8. Expenditures for Supportive Services (equals the sum of all Exhibit H funds used)	\$183,207.95
9. Grantee Administrative Costs expended	\$14,157.00
10. Project Sponsor(s) Administrative Costs expended	\$23,595.00
11. Total of HOPWA funds expended during period (sum of lines 5 thru 10)	\$356,443.71
12. Balance of HOPWA funds at end of report period (line 4 minus line 11)	\$115,475.29

Emergency Shelter Grant, Financial Status Report 10

FINANCIAL STATUS REPORT	1. Submitted to: Department of Housing and Urban Development	2. Federal Grant or Other Identifying Number S-10-MC-25-0013		Page 1 of 1			
3. Recipient Organization City of Springfield Office of Community Development 36 Court Street Springfield, Massachusetts 01103	4. Employer Identification Number 04-6001415		6. Final Report? Yes	7. Basis ? Cash			
	PROJECT/GRANT PERIOD		PERIOD COVERED BY THIS REPORT				
	From:	To:	From: 7/1/2011	To: 6/30/2012			
STATUS OF FUNDS							
PROGRAMS/FUNCTIONS/ACTIVITIES	a. Rehabilitation	b. Homeless Prevention	c. Services	d. Administration	e. Operations	f.	g. TOTAL
a. Net outlays previously reported	\$ -	38,416.25	20,833.34	9,148.00	97,724.50		166,122.09
b. Total outlays this report period	-	5,931.00	4,166.66	-	6,742.25		16,839.91
c. Less: Program income credits	-	-	-	-	-		-
d. Net outlays this report period (Line b minus line c)	-	5,931.00	4,166.66	-	6,742.25		16,839.91
e. Net outlays to date (Line a plus line d)	-	44,347.25	25,000.00	9,148.00	104,466.75		182,962.00
f. Less: Non-Federal share of outlays.	-	-	-	-	-		-
g. Total Federal share of outlays (Line e minus line f)	-	44,347.25	25,000.00	9,148.00	104,466.75		182,962.00
h. Total unliquidated obligations	-	-	-	-	-		-
i. Less: non-Federal share of unliquidated obligations on line h	-	-	-	-	-		-
j. Federal share of unliquidated obligations	-	-	-	-	-		-
k. Total Federal share of outlays and unliquidated obligations	-	44,347.25	25,000.00	9,148.00	104,466.75		182,962.00
l. Total cumulative amount of Federal funds authorized	-	51,600.00	51,600.00	9,148.00	70,614.00		182,332.00
m. Unobligated balance of Federal funds	-	-	-	-	-		-
CERTIFICATION I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unliquidated obligations are for the purposes set forth in the award documents.			SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL		DATE REPORT SUBMITTED		
			PRINTED NAME AND TITLE Cathy K. Buono Director of Administration and Finance		TELEPHONE (413) 787-6082		

Emergency Shelter Grant, Financial Status Report 11-First Allocation

FINANCIAL STATUS REPORT	1. Submitted to: Department of Housing and Urban Development	2. Federal Grant or Other Identifying Number S-11-MC-25-0013	Page 1 of 1				
3. Recipient Organization City of Springfield Office of Community Development 36 Court Street Springfield, Massachusetts 01103	4. Employer Identification Number 04-6001415	6. Final Report? Yes	7. Basis ? Cash				
	PROJECT/GRANT PERIOD	PERIOD COVERED BY THIS REPORT					
	From: To:	From: To: 7/1/2011 6/30/2012					
STATUS OF FUNDS							
PROGRAMS/FUNCTIONS/ACTIVITIES	a. Rehabilitation	b. Homeless Prevention	c. Services	d. Administration	e. Operations	f.	g. TOTAL
a. Net outlays previously reported	\$ -	-	-	-	-		-
b. Total outlays this report period	-	41,971.84	19,680.48	8,996.30	67,733.25		138,381.87
c. Less: Program income credits	-	-	-	-	-		-
d. Net outlays this report period (Line b minus line c)	-	41,971.84	19,680.48	8,996.30	67,733.25		138,381.87
e. Net outlays to date (Line a plus line d)	-	41,971.84	19,680.48	8,996.30	67,733.25		138,381.87
f. Less: Non-Federal share of outlays.	-	-	-	-	-		-
g. Total Federal share of outlays (Line e minus line f)	-	41,971.84	19,680.48	8,996.30	67,733.25		138,381.87
h. Total unliquidated obligations	-	12,005.16	29,296.22	-	242.75		41,544.13
i. Less: non-Federal share of unliquidated obligations on line h	-	-	-	-	-		-
j. Federal share of unliquidated obligations	-	12,005.16	29,296.22	-	242.75		41,544.13
k. Total Federal share of outlays and unliquidated obligations	-	53,977.00	48,976.70	8,996.30	67,976.00		179,926.00
l. Total cumulative amount of Federal funds authorized	-	53,977.00	53,977.00	8,996.00	62,976.00		179,926.00
m. Unobligated balance of Federal funds	-	-	-	-	-		-
CERTIFICATION I certify to the best of my knowledge and belief that this report is correct and complete and that all outlays and unliquidated obligations are for the purposes set forth in the award documents.	SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL					DATE REPORT SUBMITTED	
	PRINTED NAME AND TITLE Cathy K. Buono Director of Administration and Finance					TELEPHONE (413) 787-6082	

CDBG Entitlement Grant

Program Income Reconciliation

Total Program Income Fiscal Year 2012 \$ 202,086.42

<u>Date</u>	<u>HUD#</u>	<u>Voucher</u>	<u>Amount</u>
12/28/2011	3527	#5369044	\$ 98,009.57
02/22/2012	3527	#5391475	\$ 35,640.84
04/10/2012	3527	#5411272	\$ 35,607.44
05/23/2012	3673	#5429936	\$ 15,168.06
06/25/2012	3527	#5443544	\$ 5,111.77
08/06/2012	3527	#5460265	\$ 12,548.74

Expenditure Category Detail:

Administration	3527	\$ 186,918.36
Workforce Dev.	3673	\$ <u>15,168.06</u>
		\$ 202,086.42

PROJECT RECONCILIATION	2011-2012 Budget	2011-2012 Expenditures
Administration	\$ 793,574.00	\$ 779,573.45
Public Service	\$ 705,000.00	\$ 598,854.15
Economic Development Prog Delivery	\$ 50,000.00	\$ 39,920.71
Economic Development Programs	\$ 100,000.00	\$ 20,999.03
Workforce Development Program	\$ 175,000.00	\$ 48,990.87
Lead Abatement Program	\$ 50,000.00	\$ -
Existing Homeowner Rehab-emergency Repairs	\$ 100,000.00	\$ 65,990.00
HEARTWAP Program	\$ 175,000.00	\$ 172,897.52
Housing Program Delivery-Rehabilitation	\$ 78,000.00	\$ 75,591.78
Housing Program Delivery-Direct Assistance	\$ 100,000.00	\$ 101,727.63
Historic Restoration-Rehab blight	\$ 75,000.00	\$ -
Home Retention & Community Revitalization	\$ 75,000.00	\$ 74,820.00
Clearance and Demolition - Program Delivery	\$ 28,000.00	\$ 33,903.63
Bond Payment	\$ 426,877.00	\$ 393,442.35
Demolition of Vacant/Abandon Properties	\$ 250,079.00	\$ 6,518.85
Acquisiition/Disposition	\$ 22,500.00	\$ 52,887.02
Code Enforcement - Street Sweeps	\$ 40,000.00	\$ 39,851.20
Park Reconstruction	\$ 733,920.00	\$ 135,005.11
Streets/Sidewalks	\$ 300,000.00	\$ 300,000.00
Neighborhood Capacity Building Program Delivery	\$ 45,000.00	\$ 34,592.22
Graffiti Removal	\$ 45,000.00	\$ 28,000.68
	\$ 4,367,950.00	\$ 3,003,566.20
PRIOR YEAR BUDGET CARRY OVER		
Public Service	\$ 803,658.00	\$ 89,954.86
Small Business Assistance	\$ 50,000.00	\$ 18,943.81
Workforce Development Program	\$ 100,000.00	\$ 29,321.17
Indian Motorcycle Redevelopment	\$ 50,000.00	\$ 38,744.70
Retail Enhancement Program	\$ 50,000.00	\$ 35,000.00
Existing Homeowner Rehab-emergency Repairs	\$ 100,000.00	\$ 72,463.00
HEARTWAP Program	\$ 175,000.00	\$ 20,077.10
Historic Restoration-Rehab blight	\$ 150,000.00	\$ 6,700.00
Home Retention & Community Revitalization	\$ 75,000.00	\$ 75,000.00
Recievership Program-Emergency Repairs	\$ 100,000.00	\$ 50,000.00
Demolition of Vacant/Abandon Properties	\$ 324,000.00	\$ 233,655.35
Abandon Response Program	\$ 180,000.00	\$ 25,670.73
Park Reconstruction	\$ 615,000.00	\$ 487,586.95
Streets/Sidewalks	\$ 400,000.00	\$ 94,942.22
Public Facilities-Rehab for Non-Profits	\$ 345,205.00	\$ 64,681.00
Graffiti Removal	\$ 45,000.00	\$ 20,000.00
Neighborhood Façade Program	\$ 200,000.00	\$ 110,691.44
Small Business Loan Pool	\$ 100,000.00	\$ 60,000.00
		\$ 1,533,432.33
		\$ 4,536,998.53

A. PROGRAM INCOME

		Category
Springfield Redevelopment Authority		
HeartWAP	193,513.41	Other
Total SRA	\$197,590.66	
Community Development		
Economic Development Loans		
3GS Transport	658.93	Economic Development
K&J Beauty	163.00	Economic Development
Alliance Medical	1,629.04	Economic Development
BayState Metal	2,096.60	Economic Development
Ortiz Tool	1,886.94	Economic Development
Kwanzaa	670.88	Economic Development
Vesuvio LLC	1,467.62	Economic Development
Total Community Development	\$ 8,573.01	Economic

TOTAL PROGRAM INCOME	202,086.42
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PROGRAM INCOME

Economic Development	8,573.01
Other	193,513.41
Total Program Income	<u>202,086.42</u>

B. PRIOR PERIOD ADJUSTMENTS**N/A****C. LOANS AND OTHER RECEIVABLES**

- Float Funded activities - N/A
- Total number of outstanding loans and outstanding principal balance owed for the reporting period:

a. Total Loans:	Principal Balance 06/30/2012	
1. 3GS Transport	\$ 1,855.93	Economic Development
2. Alliance Medical	\$ 5,503.67	Economic Development
3. K&J Beauty	\$ 8,344.93	Economic Development
4. BayState Metal	\$ 10,427.50	Economic Development
5. Ortiz Tool	\$ 10,634.95	Economic Development
6. Kwanzaa	\$ 4,336.94	Economic Development
7. Vesuvio	\$ 11,049.70	Economic Development
8. Chaconia	\$ 3,533.80	Economic Development
9. Virtue Salon	\$ 2,060.00	Economic Development

b. Total Loans: none

- List of parcels of property owned that have been acquired or improved using CDBG funds during the reporting period and are available for sale: n/a

A PUBLIC HEARING

Review & Receive Citizen Input on Springfield's DRAFT Consolidated Annual Performance & Evaluation Report (CAPER) FY 11-2012

**Tuesday, September 11th, City Hall,
Room 220 at 5:00 PM**

Copies of the DRAFT CAPER will be available for 15 day period review beginning on August 31st at:

- Office of Planning and Economic Development, 70 Tapley Street;
- Office of Community Development, 1600 East Columbus Avenue;
- Office of Housing, 1600 E Columbus Ave, 1st Floor;
- Department of Health and Human Services, 95 State Street
- http://www.springfieldcityhall.com/cos/Services/dept_cd.htm

Interested parties are also invited to submit written comments to Cathy Buono, Director of Administration & Finance, Office of Community Development. Submissions must be received by the Office of Community Development, 1600 East Columbus Avenue, Springfield, MA 01103 or cbuono@springfieldcityhall.com no later than 4:00 PM on Friday, September 14, 2012.

Please contact the Office of Community Development at 787-6050 or TTY 787-6641 for additional information.

UNA AUDENCIA PÚBLICA

Rendimiento Del Proyecto Anual Consolidado

Y Evaluación Revisada

De Springfield FY 10 – 2012

Martes, 11 de septiembre a las 5:00pm
en la Casa Alcaldía, Salón 220

Las copias del PROYECTO CAPER estarán disponibles durante un periodo de revisión de 15 días a partir del 31 Agosto en:

- Oficina de Planificación y Desarrollo Económico, 70 Tapley Street
- Oficina de Desarrollo de la Comunidad, 1600 E. Columbus Avenue, Salón 101
- Oficina de la Vivienda, 1600 E. Columbus Ave. 1er piso
- Departamento de Salud y Recursos Humanos, 95 State Street
- http://www.springfieldcityhall.com/sos/Services/dept_cd.htm

Las personas interesadas están invitadas a someter comentarios por escrito concernientes a este documento. La correspondencia debe ser dirigida a Cathy Buono, Directora de Administración y Finanzas de la Oficina de Desarrollo de la Comunidad, 1600 E. Columbus Avenue, Springfield, MA 01103 o al siguiente correo electrónico cbuono@springfieldcityhall.com, el Viernes, 14 de septiembre de 2012, no más tarde de las 4:00PM,

Para más información, favor de llamar a la Oficina de Desarrollo de la Comunidad al 787-6050 o TTY 787-6641

Notice of DRAFT Availability and Public Hearing

Review of DRAFT Consolidated Annual Performance And Evaluation Report (CAPER)

7/1/11-6/30/2012

The City of Springfield, through the Office of Community Development, is preparing its Draft Consolidated Annual Performance and Evaluation Report (CAPER) for the program year July 1, 2011-June 30, 2012. This Annual Report outlines how federal Community Development Block Grant (CDBG), HOME Investment Partnership Act (HOME), Emergency Shelter Grant (ESG) and Housing Opportunities for Persons with AIDS (HOPWA) formula grant programs were utilized during the prior program year, which runs from July 1, 2011 to June 30, 2012.

Copies of the Draft CAPER will be available starting on August 31st through September 14th at:

- Office of Planning & Economic Development, 70 Tapley Street;
- Office of Community Development, City Hall, 1600 East Columbus Avenue;
- Office of Housing, 1600 East Columbus Avenue, 1st Floor;
- Department of Health & Human Services, 95 State Street;
- http://www.springfieldcityhall.com/cos/Services/dept_cd.htm

A Public Hearing will be held on Tuesday, September 11th, City Hall, Room 220 at 5:00 PM.

Interested parties are also invited to submit written comments to Cathy Buono, Director of Administration & Finance, Office of Community Development. Submissions must be received by the Office of Community Development no later than 4:00 PM; September 14, 2012. Please mail or email comments to the Office of Community Development, 1600 East Columbus Avenue, Springfield, MA 01103 or cbuono@springfieldcityhall.com.

Please contact the Office of Community Development at 787-6050 or TTY 787-6641 for additional information.

The City of Springfield is an Equal Employment Opportunity

Housing Opportunities for Person with AIDS (HOPWA)

Consolidated Annual Performance and Evaluation Report (CAPER)

Measuring Performance Outputs and Outcomes

OMB Number 2506-0133 (Expiration Date: 10/31/2014)

Part 1: Grantee Executive Summary

As applicable, complete the charts below to provide more detailed information about the agencies and organizations responsible for the administration and implementation of the HOPWA program. Chart 1 requests general Grantee Information and Chart 2 is to be completed for each organization selected or designated as a project sponsor, as defined by CFR 574.3. In Chart 3, indicate each subrecipient organization with a contract/agreement of \$25,000 or greater that assists grantees or project sponsors carrying out their administrative or evaluation activities. In Chart 4, indicate each subrecipient organization with a contract/agreement to provide HOPWA-funded services to client households. These elements address requirements in the Federal Funding and Accountability and Transparency Act of 2006 (Public Law 109-282).

Note: Please see the definition section for distinctions between project sponsor and subrecipient.

Note: If any information does not apply to your organization, please enter N/A. Do not leave any section blank.

1. Grantee Information

HUD Grant Number MAH11-F002		Operating Year for this report <i>From (mm/dd/yy) 7/1/11 To (mm/dd/yy) 6/30/12</i>		
Grantee Name City of Springfield, MA				
Business Address		1600 East Columbus Avenue		
City, County, State, Zip		Springfield	Hampden	MA 01103
Employer Identification Number (EIN) or Tax Identification Number (TIN)		EIN#04-60001415		
DUN & Bradstreet Number (DUNs):		DUNS#073011921	Central Contractor Registration (CCR): Is the grantee's CCR status currently active? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If yes, provide CCR Number: 4ALL7	
*Congressional District of Grantee's Business Address		MA - 2nd Congressional District		
*Congressional District of Primary Service Area(s)				
*City(ies) and County(ies) of Primary Service Area(s)		Cities: Springfield		Counties: Hampden/Hampshire
Organization's Website Address springfieldcityhall.com		Is there a waiting list(s) for HOPWA Housing Subsidy Assistance Services in the Grantee service Area? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If yes, explain in the narrative section what services maintain a waiting list and how this list is administered.		

* Service delivery area information only needed for program activities being directly carried out by the grantee.

2. Project Sponsor Information

Please complete Chart 2 for each organization designated or selected to serve as a project sponsor, as defined by CFR 574.3. Use this section to report on organizations involved in the direct delivery of services for client households. These elements address requirements in the Federal Financial Accountability and Transparency Act of 2006 (Public Law 109-282).

Note: Please see the definitions for distinctions between project sponsor and subrecipient.

Note: If any information does not apply to your organization, please enter N/A.

Project Sponsor Agency Name Center for Human Development HIV AIDS Law Consortium		Parent Company Name, if applicable	
Name and Title of Contact at Project Sponsor Agency	Rose Maloof, Program Director		
Email Address	Malooof@chd.org		
Business Address	425 Union Street, Suite 118		
City, County, State, Zip,	West Springfield, Hampden County, MA 01089		
Phone Number (with area code)	413-732-0011		
Employer Identification Number (EIN) or Tax Identification Number (TIN)	Fax Number (with area code)		
	04-250-3926	413-732-3331	
DUN & Bradstreet Number (DUNs):	09-919-4695		
Congressional District of Project Sponsor's Business Address	MA 1st Congressional District		
Congressional District(s) of Primary Service Area(s)	MA 1st Congressional District		
City(ies) and County(ies) of Primary Service Area(s)	Cities: Springfield, Holyoke, Northampton	Counties: Hampden, Hampshire County	
Total HOPWA contract amount for this Organization for the operating year	\$47,916.00		
Organization's Website Address	Hivaidslawconsortium.org		
Is the sponsor a nonprofit organization? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please check if yes and a faith-based organization. <input type="checkbox"/> Please check if yes and a grassroots organization. <input type="checkbox"/>	Does your organization maintain a waiting list? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If yes, explain in the narrative section how this list is administered.		

2. Project Sponsor Information

Please complete Chart 2 for each organization designated or selected to serve as a project sponsor, as defined by CFR 574.3. Use this section to report on organizations involved in the direct delivery of services for client households. These elements address requirements in the Federal Financial Accountability and Transparency Act of 2006 (Public Law 109-282).

Note: Please see the definitions for distinctions between project sponsor and subrecipient.

Note: If any information does not apply to your organization, please enter N/A.

Project Sponsor Agency Name Aids Care/Hampshire County		Parent Company Name, if applicable Cooley Dickinson Hospital	
Name and Title of Contact at Project Sponsor Agency	Betsy Shally-Jensen, Director		
Email Address	aids-carehamp@cooley-dickinson.org		
Business Address	P.O. Box 1299		
City, County, State, Zip,	Northampton, Hampshire County, MA 01061		
Phone Number (with area code)	413-586-8288		
Employer Identification Number (EIN) or Tax Identification Number (TIN)	22-2617 175	Fax Number (with area code) 413-586-8996	
DUN & Bradstreet Number (DUNs):	06-699-1605		
Congressional District of Project Sponsor's Business Address	MA 2nd Congressional District		
Congressional District(s) of Primary Service Area(s)	MA 1st & 2nd Congressional District		
City(ies) and County(ies) of Primary Service Area(s)	Cities: Northampton, Holyoke, Springfield, Turners Falls, Ware, Amherst, Chicopee, Easthampton	Counties: Hampden, Franklin & Hampshire Counties	
Total HOPWA contract amount for this Organization for the operating year	\$128,253.00		
Organization's Website Address	Cooley-dickinson.org/services/aids-care-hampshire-county		
Is the sponsor a nonprofit organization? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please check if yes and a faith-based organization. <input type="checkbox"/> Please check if yes and a grassroots organization. <input type="checkbox"/>		Does your organization maintain a waiting list? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If yes, explain in the narrative section how this list is administered.	

2. Project Sponsor Information

Please complete Chart 2 for each organization designated or selected to serve as a project sponsor, as defined by CFR 574.3. Use this section to report on organizations involved in the direct delivery of services for client households. These elements address requirements in the Federal Financial Accountability and Transparency Act of 2006 (Public Law 109-282).

Note: Please see the definitions for distinctions between project sponsor and subrecipient.

Note: If any information does not apply to your organization, please enter N/A.

Project Sponsor Agency Name New North Citizens Council		Parent Company Name, if applicable	
Name and Title of Contact at Project Sponsor Agency	Maria Perez. Coordinator		
Email Address	mperez@newnorthcc.org		
Business Address	2383 Main Street		
City, County, State, Zip,	Springfield. Hampden County. MA 01107		
Phone Number (with area code)	413-746-4885		
Employer Identification Number (EIN) or Tax Identification Number (TIN)	23-7371934	Fax Number (with area code) 413-737-2321	
DUN & Bradstreet Number (DUNs):	937637718		
Congressional District of Project Sponsor's Business Address	MA 2nd Congressional District		
Congressional District(s) of Primary Service Area(s)	MA 2nd Congressional District		
City(ies) and County(ies) of Primary Service Area(s)	Cities Springfield	Counties: Hampden	
Total HOPWA contract amount for this Organization for the operating year	\$124,465.00		
Organization's Website Address	Newnorthcc.org		
Is the sponsor a nonprofit organization? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please check if yes and a faith-based organization. <input type="checkbox"/> Please check if yes and a grassroots organization. <input type="checkbox"/>		Does your organization maintain a waiting list? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If yes, explain in the narrative section how this list is administered.	

2. Project Sponsor Information

Please complete Chart 2 for each organization designated or selected to serve as a project sponsor, as defined by CFR 574.3. Use this section to report on organizations involved in the direct delivery of services for client households. These elements address requirements in the Federal Financial Accountability and Transparency Act of 2006 (Public Law 109-282).

Note: Please see the definitions for distinctions between project sponsor and subrecipient.

Note: If any information does not apply to your organization, please enter N/A.

Project Sponsor Agency Name River Valley Counseling Center		Parent Company Name, if applicable	
Name and Title of Contact at Project Sponsor Agency	Marianne Polmatier, Director		
Email Address	Polmatier_marianne@holyokehealth.com		
Business Address	120 Maple Street, Suite 301		
City, County, State, Zip,	Springfield, Hampden, MA 01103		
Phone Number (with area code)	413-737-2437		
Employer Identification Number (EIN) or Tax Identification Number (TIN)	04-737-2437	Fax Number (with area code) (413)737-3521	
DUN & Bradstreet Number (DUNs):	602809733		
Congressional District of Project Sponsor's Business Address	MA 2nd Congressional District		
Congressional District(s) of Primary Service Area(s)	MA 2nd Congressional District		
City(ies) <u>and</u> County(ies) of Primary Service Area(s)	Cities: Springfield, Holyoke, Chicopee	Counties: Hampden	
Total HOPWA contract amount for this Organization for the operating year	\$165,591.00		
Organization's Website Address	rvcc-inc.org		
Is the sponsor a nonprofit organization? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please check if yes and a faith-based organization. <input type="checkbox"/> Please check if yes and a grassroots organization. <input type="checkbox"/>		Does your organization maintain a waiting list? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If yes, explain in the narrative section how this list is administered.	

3. Administrative Subrecipient Information – N/A

Use Chart 3 to provide the following information for each subrecipient with a contract/agreement of \$25,000 or greater that assists project sponsors to carry out their administrative services but no services directly to client households. Agreements include: grants, subgrants, loans, awards, cooperative agreements, and other forms of financial assistance; and contracts, subcontracts, purchase orders, task orders, and delivery orders. (Organizations listed may have contracts with project sponsors) These elements address requirements in the Federal Funding and Accountability and Transparency Act of 2006 (Public Law 109-282).

Note: Please see the definitions for distinctions between project sponsor and subrecipient.

Note: If any information does not apply to your organization, please enter N/A.

Subrecipient Name				Parent Company Name, if applicable
Name and Title of Contact at Subrecipient				
Email Address				
Business Address				
City, State, Zip, County				
Phone Number (with area code)				Fax Number (include area code)
Employer Identification Number (EIN) or Tax Identification Number (TIN)				
DUN & Bradstreet Number (DUNs):				
North American Industry Classification System (NAICS) Code				
Congressional District of Subrecipient's Business Address				
Congressional District of Primary Service Area				
City (ies) <u>and</u> County (ies) of Primary Service Area(s)	Cities:			Counties:
Total HOPWA Subcontract Amount of this Organization for the operating year				

4. Program Subrecipient Information – N/A

Complete the following information for each subrecipient organization providing HOPWA-funded services to client households. These organizations would hold a contract/agreement with a project sponsor(s) to provide these services. For example, a subrecipient organization may receive funds from a project sponsor to provide nutritional services for clients residing within a HOPWA facility-based housing program. Please note that subrecipients who work directly with client households must provide performance data for the grantee to include in Parts 2-7 of the CAPER.

Note: Please see the definition of a subrecipient for more information.

Note: Types of contracts/agreements may include: grants, sub-grants, loans, awards, cooperative agreements, and other forms of financial assistance; and contracts, subcontracts, purchase orders, task orders, and delivery orders.

Note: If any information is not applicable to the organization, please report N/A in the appropriate box. Do not leave boxes blank.

Sub-recipient Name				Parent Company Name, if applicable
Name <u>and</u> Title of Contact at Contractor/ Sub-contractor Agency				
Email Address				
Business Address				
City, County, State, Zip				
Phone Number (included area code)			Fax Number (include area code)	
Employer Identification Number (EIN) or Tax Identification Number (TIN)				
DUN & Bradstreet Number (DUNs)				
North American Industry Classification System (NAICS) Code				
Congressional District of the Sub-recipient's Business Address				
Congressional District(s) of Primary Service Area				
City(ies) <u>and</u> County(ies) of Primary Service Area	Cities:		Counties:	
Total HOPWA Subcontract Amount of this Organization for the operating year				

5. Grantee Narrative and Performance Assessment

a. Grantee and Community Overview

Provide a one to three page narrative summarizing major achievements and highlights that were proposed and completed during the program year. Include a brief description of the grant organization, area of service, the name(s) of the program contact(s), and an overview of the range/type of housing activities provided. This overview may be used for public information, including posting on HUD's website. *Note: Text fields are expandable.*

The City of Springfield administers the HOPWA program for the three-county area of Hampden, Hampshire and Franklin Counties. In this area, there are 1947 reported cases of HIV/AIDS: 61 in Franklin County, 125 in Hampshire County, and 1761 in Hampden County. Hampden County includes the cities of Springfield, Holyoke and Chicopee.

In FY11-12, recipients of HOPWA funding served 388 households. The funded agencies provided Tenant-Based Rental Assistance (TBRA) to 28 households; Short-Term Rent, Mortgage, and Utility (STRMU) Assistance to 86 households; housing information to 67 households and advocacy/legal services and supportive services to 223 households.

Specific projects were selected for funding a formal Request for Proposal process. The following agencies received HOPWA funds:

1. **River Valley Counseling Center** is a licensed mental health clinic and a multi-service agency. The mission of RVCC's HIV/AIDS Project is to support those affected by HIV/AIDS and to promote community awareness of the issues surrounding HIV/AIDS. The Project provides: information, assessment and referral services; comprehensive, bi-lingual/bi-cultural case management for medical and social services; HIV/AIDS consumer support groups; access to the Positive Alliance Network, a program designed specifically to provide mental health services to minorities affected by HIV/AIDS; an array of housing services for HIV+ individuals; and membership to a drop-in center that provides a safe environment for HIV+ individuals to use a computer lab, access video and book libraries, prepare snacks and enjoy healthy congregate lunch meals. RVCC primarily serves residents of Hampden County, and has offices in Springfield and Holyoke. RVCC uses HOPWA funds to provide supportive housing and housing information services and advocacy. RVCC supplements its HOPWA funding with McKinney funds, which enable the organization to provide housing subsidies and supportive services to an additional 12 households. The contact person for RVCC's HOPWA program is Marianne Polmetier.
2. **Center for Human Development HIV/AIDS Law Consortium** The mission of the HIV/AIDS Law Consortium of Western Massachusetts is to assure access to legal services for individuals and families affected by HIV/AIDS. The Law Consortium is committed to educating both the legal community and the community at large about the legal rights of individuals and families affected by HIV/AIDS and advocating on behalf of people affected by HIV/AIDS to assure that their legal and human rights are preserved. The Law Consortium uses HOPWA funds to provide legal assistance in housing cases, and small group workshops to clients and case managers regarding housing issues. The contact person for the Law Consortium is Rose Maloof.
3. **New North Citizen's Council** provides advocacy, public and human services to Hampden County residents with an emphasis on Hispanic/Latino community for the purpose of enhancing the preservation and support of the family resulting in the improvement of quality of life. NNCC uses HOPWA funds to provide shallow subsidies, rental assistance and supportive services to individuals who are HIV positive and are homeless or at risk of becoming homeless. NNCC's contact program for the HOPWA program is Maria Perez.
4. **Cooley Dickinson Hospital's AIDS Care** provides case management and comprehensive and confidential support services to people living with HIV infection, their families, and friends using a harm reduction philosophy. AIDS CARE primarily serves residents of Hampshire County, and uses HOPWA funds to provide tenant-based rental assistance and support services. The contact person for AIDS CARE is Betsy Shally-Jensen.

(a)

b. Annual Performance under the Action Plan

Provide a narrative addressing each of the following four items:

- 1. Outputs Reported.** Describe significant accomplishments or challenges in achieving the number of housing units supported and the number households assisted with HOPWA funds during this operating year compared to plans for this assistance, as approved in the Consolidated Plan/Action Plan. Describe how HOPWA funds were distributed during your program year among different categories of housing and geographic areas to address needs throughout the grant service area, consistent with approved plans.
- 2. Outcomes Assessed.** Assess your program's success in enabling HOPWA beneficiaries to establish and/or better maintain a stable living environment in housing that is safe, decent, and sanitary, and improve access to care. Compare current year results to baseline results for clients. Describe how program activities/projects contributed to meeting stated goals. If program did not achieve expected targets, please describe how your program plans to address challenges in program implementation and the steps currently being taken to achieve goals in next operating year. If your program exceeded program targets, please describe strategies the program utilized and how those contributed to program successes.
- 3. Coordination.** Report on program coordination with other mainstream housing and supportive services resources, including the use of committed leveraging from other public and private sources that helped to address needs for eligible persons identified in the Consolidated Plan/Strategic Plan.
- 4. Technical Assistance.** Describe any program technical assistance needs and how they would benefit program beneficiaries.

In FY11-12, recipients of HOPWA funding served 388 unduplicated households. The funded agencies provided Tenant-Based Rental Assistance (TBRA) to 28 households; Short-Term Rent, Mortgage, and Utility (STRMU) Assistance to 86 households; housing information to 67 households and supportive services to 223 households.

B. Annual Performance Under the Action Plan

1. Outputs Reported. During this year, HOPW grantees assisted 388 unduplicated households. Over 70% of funds are used to provide Tenant-Based Rental Assistance or Short Term Rental, Utilities or Mortgage Assistance. The rest of the funds go to supportive services, including Rental Start-Up (first, last and security deposit) and legal assistance related to housing issues.

Grantees operate in all three counties that are covered by the HOPWA grant (Franklin, Hampshire and Hampden). The highest rates of HIV are in the cities located in Hampden County (Springfield, Holyoke and Chicopee). As a result, three out of the four grantees work in Hampden County. Grantees are chosen through a competitive request for proposals process.

2. Outcomes Assessed. The programs that provide TBRA achieve housing stability outcomes higher than the national program targets. These programs also report success in improving access to health care. Programs providing other types of assistance have not tracked housing stability after the time of intervention, so they do not have data on housing stability. Our community is increasing and broadening use of the Homeless Management Information System (HMIS), so we hope to be able to track this data in the future.

3. Coordination. Grantees are all members of the Springfield Continuum of Care, and several of them are members of the Three-County (Franklin, Hampshire, Hampden) Continuum of Care. The CoCs have independently created ten-year plans to end homelessness, and the two CoCs have come together to create a regional effort to end homelessness. (The regional effort also includes Berkshire County.)

In the upcoming fiscal year, the Springfield CoC is expanding to include all of Hampden County. This expansion will improve coordination and planning among the Hampden County cities, which is where the majority of persons with HIV/AIDS live (90% of persons with HIV/AIDS in the region live in Hampden County.).

None of our programs have done any housing development. As part of our regional effort, we are encouraging housing developers and service providers to work together to create permanent supportive housing.

4. Technical Assistance. Technical assistance is welcome at anytime to update staff on any changes within the program.

(b) c. *Barriers and Trends Overview*

Provide a narrative addressing items 1 through 3. Explain how barriers and trends affected your program's ability to achieve the objectives and outcomes discussed in the previous section.

1. Describe any barriers (including regulatory and non-regulatory) encountered in the administration or implementation of the HOPWA program, how they affected your program's ability to achieve the objectives and outcomes discussed, and, actions taken in response to barriers, and recommendations for program improvement. Provide an explanation for each barrier selected.

The highest rates of HIV in our area are due to injection drug use, so persons with HIV tend to have barriers to obtaining stable housing that are linked to substance abuse—poor credit, negative landlord histories, and criminal records. Our subgrantees are trained to advocate for clients to help them overcome these barriers, and have also established strong relationships with individual landlords which enable them to find units for hard-to-house households.

While it is possible to find affordable units in Hampden County, it can be harder to locate affordable units in Hampshire County, where there are numerous colleges, causing high demand for rental units. Our Hampshire County subgrantee is especially proactive in conducting housing search.

2. Describe any trends in the community that may affect the way in which the needs of persons living with HIV/AIDS are being addressed, and provide any other information important to the future provision of services to this population.

The greatest challenge has been the scarcity of resources to serve the eligible population. Eligible participants generally have very low incomes, and require subsidized housing, as well as support services. There is simply not a sufficient supply of affordable housing.

The Tri-county area continues to see an increase in the number of HIV/AIDS cases and a decrease in the public dollars available to serve this growing population. Coupling these factors with an increased life expectancy results in a tremendously burdened system. These factors make it critically important that HOPWA providers continue to partner with mainstream providers of housing and health services.

3. Identify any evaluations, studies, or other assessments of the HOPWA program that are available to the public.

None.

d. Unmet Housing Needs: An Assessment of Unmet Housing Needs

In Chart 1, provide an assessment of the number of HOPWA-eligible households that require HOPWA housing subsidy assistance but are not currently served by any HOPWA-funded housing subsidy assistance in this service area.

In Row 1, report the total unmet need of the geographical service area, as reported in *Unmet Needs for Persons with HIV/AIDS*, Chart 1B of the Consolidated or Annual Plan(s), or as reported under HOPWA worksheet in the Needs Workbook of the Consolidated Planning Management Process (CPMP) tool.

<input type="checkbox"/> HOPWA/HUD Regulations	<input type="checkbox"/> Planning	<input type="checkbox"/> Housing Availability	<input type="checkbox"/> Rent Determination and Fair Market Rents
<input type="checkbox"/> Discrimination/Confidentiality	<input type="checkbox"/> Multiple Diagnoses	<input type="checkbox"/> Eligibility	<input type="checkbox"/> Technical Assistance or Training
<input type="checkbox"/> Supportive Services	<input checked="" type="checkbox"/> Credit History	<input checked="" type="checkbox"/> Rental History	<input checked="" type="checkbox"/> Criminal Justice History
<input checked="" type="checkbox"/> Housing Affordability	<input type="checkbox"/> Geography/Rural Access	<input type="checkbox"/> Other, please explain further	

Note: Report most current data available, through Consolidated or Annual Plan(s), and account for local housing issues, or changes in HIV/AIDS cases, by using combination of one or more of the sources in Chart 2.

If data is collected on the type of housing that is needed in Rows a. through c., enter the number of HOPWA-eligible households by type of housing subsidy assistance needed. For an approximate breakdown of overall unmet need by type of housing subsidy

assistance refer to the Consolidated or Annual Plan (s), CPMP tool or local distribution of funds. Do not include clients who are already receiving HOPWA-funded housing subsidy assistance.

Refer to Chart 2, and check all sources consulted to calculate unmet need. Reference any data from neighboring states' or municipalities' Consolidated Plan or other planning efforts that informed the assessment of Unmet Need in your service area.

Note: In order to ensure that the unmet need assessment for the region is comprehensive, HOPWA formula grantees should include those unmet needs assessed by HOPWA competitive grantees operating within the service area.

1. Planning Estimate of Area's Unmet Needs for HOPWA-Eligible Households

1. Total number of households that have unmet housing subsidy assistance need.	1559
2. From the total reported in Row 1, identify the number of households with unmet housing needs by type of housing subsidy assistance:	
a. Tenant-Based Rental Assistance (TBRA)	
b. Short-Term Rent, Mortgage and Utility payments (STRMU) <ul style="list-style-type: none"> • Assistance with rental costs • Assistance with mortgage payments • Assistance with utility costs. 	
c. Housing Facilities, such as community residences, SRO dwellings, other housing facilities	

b) 2. Recommended Data Sources for Assessing Unmet Need (check all sources used)

<input checked="" type="checkbox"/> X	= Data as reported in the area Consolidated Plan, e.g. Table 1B, CPMP charts, and related narratives
<input checked="" type="checkbox"/> X	= Data established by area HIV/AIDS housing planning and coordination efforts, e.g. Continuum of Care
	= Data from client information provided in Homeless Management Information Systems (HMIS)
<input checked="" type="checkbox"/> X	= Data from project sponsors or housing providers, including waiting lists for assistance or other assessments on need including those completed by HOPWA competitive grantees operating in the region.
	= Data from prisons or jails on persons being discharged with HIV/AIDS, if mandatory testing is conducted
	= Data from local Ryan White Planning Councils or reported in CARE Act Data Reports, e.g. number of clients with permanent housing
<input checked="" type="checkbox"/> X	= Data collected for HIV/AIDS surveillance reporting or other health assessments, e.g. local health department or CDC surveillance data

End of PART 1

PART 2: Sources of Leveraging and Program Income

1. Sources of Leveraging

Report the source(s) of cash or in-kind leveraged federal, state, local or private resources identified in the Consolidated or Annual Plan and used in the delivery of the HOPWA program and the amount of leveraged dollars. In Column [1], identify the type of leveraging. Some common sources of leveraged funds have been provided as a reference point. You may add Rows as necessary to report all sources of leveraged funds. Include Resident Rent payments paid by clients directly to private landlords. Do NOT include rents paid directly to a HOPWA program as this will be reported in the next section. In Column [2] report the amount of leveraged funds expended during the operating year. Use Column [3] to provide some detail about the type of leveraged contribution (e.g., case management services or clothing donations). In Column [4], check the appropriate box to indicate whether the leveraged contribution was a housing subsidy assistance or another form of support.

Note: Be sure to report on the number of households supported with these leveraged funds in Part 3, Chart 1, Column d.

A. Source of Leveraging Chart

[1] Source of Leveraging	[2] Amount of Leveraged Funds	[3] Type of Contribution	[4] Housing Subsidy Assistance or Other Support
Public Funding			
Ryan White-Housing Assistance			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Ryan White-Other			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Housing Choice Voucher Program			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Low Income Housing Tax Credit			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
HOME			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Shelter Plus Care			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Emergency Solutions Grant			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Public: City of Springfield	40000.00	TBRA	<input checked="" type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Public: MDPH	128452.59	Grant	<input type="checkbox"/> Housing Subsidy Assistance <input checked="" type="checkbox"/> Other Support
Other Public: SAMHSA	2092.00	Grant	<input type="checkbox"/> Housing Subsidy Assistance <input checked="" type="checkbox"/> Other Support
Other Public: MDPH	157741.00	Grant	<input checked="" type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Public:			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Private Funding			
Grants			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
In-kind Resources			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Private:			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Private:			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Other Funding			
Grantee/Project Sponsor/Subrecipient (Agency) Cash			<input type="checkbox"/> Housing Subsidy Assistance <input type="checkbox"/> Other Support
Resident Rent Payments by Client to Private Landlord			

TOTAL (Sum of all Rows)	328285.59		
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2. Program Income and Resident Rent Payments **N/A**

In Section 2, Chart A., report the total amount of program income and resident rent payments directly generated from the use of HOPWA funds, including repayments. Include resident rent payments collected or paid directly to the HOPWA program. Do NOT include payments made directly from a client household to a private landlord.

***Note:** Please see report directions section for definition of program income. (Additional information on program income is available in the HOPWA Grantee Oversight Resource Guide).*

A. Total Amount Program Income and Resident Rent Payment Collected During the Operating Year

Program Income and Resident Rent Payments Collected		Total Amount of Program Income (for this operating year)
1.	Program income (e.g. repayments)	
2.	Resident Rent Payments made directly to HOPWA Program	
3.	Total Program Income and Resident Rent Payments (Sum of Rows 1 and 2)	

B. Program Income and Resident Rent Payments Expended To Assist HOPWA Households

In Chart B, report on the total program income and resident rent payments (as reported above in Chart A) expended during the operating year. Use Row 1 to report Program Income and Resident Rent Payments expended on Housing Subsidy Assistance Programs (i.e., TBRA, STRMU, PHP, Master Leased Units, and Facility-Based Housing). Use Row 2 to report on the Program Income and Resident Rent Payment expended on Supportive Services and other non-direct Housing Costs.

Program Income and Resident Rent Payment Expended on HOPWA programs		Total Amount of Program Income Expended (for this operating year)
1.	Program Income and Resident Rent Payment Expended on Housing Subsidy Assistance costs	
2.	Program Income and Resident Rent Payment Expended on Supportive Services and other non-direct housing costs	
3.	Total Program Income Expended (Sum of Rows 1 and 2)	

End of PART 2

PART 3: Accomplishment Data Planned Goal and Actual Outputs

In Chart 1, enter performance information (goals and actual outputs) for all activities undertaken during the operating year supported with HOPWA funds. Performance is measured by the number of households and units of housing that were supported with HOPWA or other federal, state, local, or private funds for the purposes of providing housing assistance and support to persons living with HIV/AIDS and their families.

Note: The total households assisted with HOPWA funds and reported in PART 3 of the CAPER should be the same as reported in the annual year-end IDIS data, and goals reported should be consistent with the Annual Plan information. Any discrepancies or deviations should be explained in the narrative section of PART 1.

1. HOPWA Performance Planned Goal and Actual Outputs

	HOPWA Performance Planned Goal and Actual	[1] Output: Households				[2] Output: Funding	
		HOPWA Assistance		Leveraged Households		HOPWA Funds	
		a.	b.	c.	d.	e.	f.
		Goal	Actual	Goal	Actual	HOPWA Budget	HOPWA Actual
	HOPWA Housing Subsidy Assistance	[1] Output: Households				[2] Output: Funding	
1.	Tenant-Based Rental Assistance	25	28			113766.00	113766.00
2a.	Permanent Housing Facilities: Received Operating Subsidies/Leased units (Households Served)						
2b.	Transitional/Short-term Facilities: Received Operating Subsidies/Leased units (Households Served)						
3a.	Permanent Housing Facilities: Capital Development Projects placed in service during the operating year (Households Served)						
3b.	Transitional/Short-term Facilities: Capital Development Projects placed in service during the operating year (Households Served)						
4.	Short-Term Rent, Mortgage and Utility Assistance	60	86			42069.00	42069.00
5.	Permanent Housing Placement Services						
6.	Adjustments for duplication (subtract)						
7.	Total HOPWA Housing Subsidy Assistance (Columns a. – d. equal the sum of Rows 1-5 minus Row 6; Columns e. and f. equal the sum of Rows 1-5)	85	114			155835.00	155835.00
	Housing Development (Construction and Stewardship of facility based housing)	[1] Output: Housing Units				[2] Output: Funding	
8.	Facility-based units; Capital Development Projects not yet opened (Housing Units)						
9.	Stewardship Units subject to 3 or 10 year use agreements						
10.	Total Housing Developed (Sum of Rows 78 & 9)						
	Supportive Services	[1] Output Households				[2] Output: Funding	
11a.	Supportive Services provided by project sponsors/subrecipient that also delivered HOPWA housing subsidy assistance	95	114			176803.00	176298.00
11b.	Supportive Services provided by project sponsors/subrecipient that only provided supportive services.	70	109			74570.00	74570.00
12.	Adjustment for duplication (subtract)						
13.	Total Supportive Services (Columns a. – d. equal the sum of Rows 11 a. & b. minus Row 12; Columns e. and f. equal the sum of Rows 11a. & 11b.)	165	223			250873.00	250868.00
	Housing Information Services	[1] Output Households				[2] Output: Funding	
14.	Housing Information Services	67	67			27112.00	24543.00
15.	Total Housing Information Services	67	67			27112.00	24543.00
	Grant Administration and Other Activities	[1] Output Households				[2] Output: Funding	

16.	Resource Identification to establish, coordinate and develop housing assistance resources						
17.	Technical Assistance (if approved in grant agreement)						
18.	Grantee Administration (maximum 3% of total HOPWA grant)					14157.00	14157.00
19.	Project Sponsor Administration (maximum 7% of portion of HOPWA grant awarded)					32405.00	32405.00
20.	Total Grant Administration and Other Activities (Sum of Rows 16 – 19)					46562.00	46562.00
Total Expended						[2] Outputs: HOPWA Funds Expended	
						Budget	Actual
21.	Total Expenditures for program year (Sum of Rows 7, 10, 13, 15, and 20)	317	404			480382.00	477808.00

2. Listing of Supportive Services

Report on the households served and use of HOPWA funds for all supportive services. Do NOT report on supportive services leveraged with non-HOPWA funds.

Data check: Total unduplicated households and expenditures reported in Row 17 equal totals reported in Part 3, Chart 1, Row 13.

Supportive Services		[1] Output: Number of Households	[2] Output: Amount of HOPWA Funds Expended
1.	Adult day care and personal assistance		
2.	Alcohol and drug abuse services		
3.	Case management	141	206298.00
4.	Child care and other child services		
5.	Education		
6.	Employment assistance and training		
7.	Health/medical/intensive care services, if approved Note: Client records must conform with 24 CFR §574.310		
8.	Legal services		
9.	Life skills management (outside of case management)		
10.	Meals/nutritional services		
11.	Mental health services		
12.	Outreach		
13.	Transportation		
14.	Other Activity (if approved in grant agreement). Specify:	82	44570.00
15.	Sub-Total Households receiving Supportive Services (Sum of Rows 1-14)		
16.	Adjustment for Duplication (subtract)		
17.	TOTAL Unduplicated Households receiving Supportive Services (Column [1] equals Row 15 minus Row 16; Column [2] equals sum of Rows 1-14)	223	250868.00

3. Short-Term Rent, Mortgage and Utility Assistance (STRMU) Summary

In Row a., enter the total number of households served and the amount of HOPWA funds expended on Short-Term Rent, Mortgage and Utility (STRMU) Assistance. In Row b., enter the total number of STRMU-assisted households that received assistance with mortgage costs only (no utility costs) and the amount expended assisting these households. In Row c., enter the total number of STRMU-assisted households that received assistance with both mortgage and utility costs and the amount expended assisting these

households. In Row d., enter the total number of STRMU-assisted households that received assistance with rental costs only (no utility costs) and the amount expended assisting these households. In Row e., enter the total number of STRMU-assisted households that received assistance with both rental and utility costs and the amount expended assisting these households. In Row f., enter the total number of STRMU-assisted households that received assistance with utility costs only (not including rent or mortgage costs) and the amount expended assisting these households. In row g., report the amount of STRMU funds expended to support direct program costs such as program operation staff.

Data Check: The total households reported as served with STRMU in Row a., column [1] and the total amount of HOPWA funds reported as expended in Row a., column [2] equals the household and expenditure total reported for STRMU in Part 3, Chart 1, Row 4, Columns b. and f., respectively.

Data Check: The total number of households reported in Column [1], Rows b., c., d., e., and f. equal the total number of STRMU households reported in Column [1], Row a. The total amount reported as expended in Column [2], Rows b., c., d., e., f., and g. equal the total amount of STRMU expenditures reported in Column [2], Row a.

Housing Subsidy Assistance Categories (STRMU)		[1] Output: Number of <u>Households</u> Served	[2] Output: Total HOPWA Funds Expended on STRMU during Operating Year
a.	Total Short-term mortgage, rent and/or utility (STRMU) assistance	86	42069.00
b.	Of the total STRMU reported on Row a, total who received assistance with mortgage costs ONLY.	2	2619.00
c.	Of the total STRMU reported on Row a, total who received assistance with mortgage and utility costs.		
d.	Of the total STRMU reported on Row a, total who received assistance with rental costs ONLY.	84	39450.00
e.	Of the total STRMU reported on Row a, total who received assistance with rental and utility costs.		
f.	Of the total STRMU reported on Row a, total who received assistance with utility costs ONLY.		
g.	Direct program delivery costs (e.g., program operations staff time)		

End of PART 3

Part 4: Summary of Performance Outcomes

In Column [1], report the total number of eligible households that received HOPWA housing subsidy assistance, by type.

In Column [2], enter the number of households that continued to access each type of housing subsidy assistance into next operating year. In Column [3], report the housing status of all households that exited the program.

Data Check: The sum of Columns [2] (Number of Households Continuing) and [3] (Exited Households) equals the total reported in Column[1].

Note: Refer to the housing stability codes that appear in Part 5: Worksheet - Determining Housing Stability Outcomes.

Section 1. Housing Stability: Assessment of Client Outcomes on Maintaining Housing Stability (Permanent Housing and Related Facilities)

A. Permanent Housing Subsidy Assistance

	[1] Output: Total Number of Households Served	[2] Assessment: Number of Households that Continued Receiving HOPWA Housing Subsidy Assistance into the Next Operating Year	[3] Assessment: Number of Households that exited this HOPWA Program; their Housing Status after Exiting		[4] HOPWA Client Outcomes
Tenant-Based Rental Assistance	28	25	1 Emergency Shelter/Streets		Unstable Arrangements
			2 Temporary Housing		Temporarily Stable, with Reduced Risk of Homelessness
			3 Private Housing	2	Stable/Permanent Housing (PH)
			4 Other HOPWA		
			5 Other Subsidy		
			6 Institution		
			7 Jail/Prison		Unstable Arrangements
			8 Disconnected/Unknown		
			9 Death	1	Life Event
Permanent Supportive Housing Facilities/ Units			1 Emergency Shelter/Streets		Unstable Arrangements
			2 Temporary Housing		Temporarily Stable, with Reduced Risk of Homelessness
			3 Private Housing		Stable/Permanent Housing (PH)
			4 Other HOPWA		
			5 Other Subsidy		
			6 Institution		
			7 Jail/Prison		Unstable Arrangements
			8 Disconnected/Unknown		
			9 Death		Life Event

B. Transitional Housing Assistance

	[1] Output: Total Number of Households Served	[2] Assessment: Number of Households that Continued Receiving HOPWA Housing Subsidy Assistance into the Next Operating Year	[3] Assessment: Number of Households that exited this HOPWA Program; their Housing Status after Exiting		[4] HOPWA Client Outcomes
Transitional/ Short-Term Housing Facilities/ Units	86		1 Emergency Shelter/Streets		Unstable Arrangements
			2 Temporary Housing		Temporarily Stable with Reduced Risk of Homelessness
			3 Private Housing	86	Stable/Permanent Housing (PH)
			4 Other HOPWA		
			5 Other Subsidy		
			6 Institution		
			7 Jail/Prison		Unstable Arrangements
			8 Disconnected/unknown		

			9 Death		<i>Life Event</i>
B1: Total number of households receiving transitional/short-term housing assistance whose tenure exceeded 24 months					

Section 2. Prevention of Homelessness: Assessment of Client Outcomes on Reduced Risks of Homelessness (Short-Term Housing Subsidy Assistance)

Report the total number of households that received STRMU assistance in Column [1].

In Column [2], identify the outcomes of the households reported in Column [1] either at the time that they were known to have left the STRMU program or through the project sponsor or subrecipient's best assessment for stability at the end of the operating year.

Information in Column [3] provides a description of housing outcomes; therefore, data is not required.

At the bottom of the chart:

- In Row 1a., report those households that received STRMU assistance during the operating year of this report, and the prior operating year.
- In Row 1b., report those households that received STRMU assistance during the operating year of this report, and the two prior operating years.

Data Check: The total households reported as served with STRMU in Column [1] equals the total reported in Part 3, Chart 1, Row 4, Column b.

Data Check: The sum of Column [2] should equal the number of households reported in Column [1].

Assessment of Households that Received STRMU Assistance

[1] Output: Total number of households	[2] Assessment of Housing Status		[3] HOPWA Client Outcomes
86	Maintain Private Housing without subsidy (e.g. Assistance provided/completed and client is stable, not likely to seek additional support)	79	<i>Stable/Permanent Housing (PH)</i>
	Other Private Housing without subsidy (e.g. client switched housing units and is now stable, not likely to seek additional support)		
	Other HOPWA Housing Subsidy Assistance		
	Other Housing Subsidy (PH)	5	
	Institution (e.g. residential and long-term care)		
	Likely that additional STRMU is needed to maintain current housing arrangements		<i>Temporarily Stable, with Reduced Risk of Homelessness</i>
	Transitional Facilities/Short-term (e.g. temporary or transitional arrangement)		
	Temporary/Non-Permanent Housing arrangement (e.g. gave up lease, and moved in with family or friends but expects to live there less than 90 days)		
	Emergency Shelter/street		<i>Unstable Arrangements</i>
	Jail/Prison		
	Disconnected		
	Death	2	<i>Life Event</i>
1a. Total number of those households that received STRMU Assistance in the operating year of this report that also received STRMU assistance in the prior operating year (e.g. households that received STRMU assistance in two consecutive operating years).			
1b. Total number of those households that received STRMU Assistance in the operating year of this report that also received STRMU assistance in the two prior operating years (e.g. households that received STRMU assistance in three consecutive operating years).			

Section 3. HOPWA Outcomes on Access to Care and Support

1a. Total Number of Households

Line [1]: For project sponsors/subrecipients that provided HOPWA housing subsidy assistance during the operating year identify in the appropriate row the number of households that received HOPWA housing subsidy assistance (TBRA, STRMU, Facility-Based, PHP and Master Leasing) and HOPWA funded case management services. Use Row c. to adjust for duplication among the service categories and Row d. to provide an unduplicated household total.

Line [2]: For project sponsors/subrecipients that did NOT provide HOPWA housing subsidy assistance identify in the appropriate row the number of households that received HOPWA funded case management services.

Note: These numbers will help you to determine which clients to report Access to Care and Support Outcomes for and will be used by HUD as a basis for analyzing the percentage of households who demonstrated or maintained connections to care and support as identified in Chart 1b. below.

Total Number of Households	
1. For Project Sponsors/Subrecipients that provided HOPWA Housing Subsidy Assistance: Identify the total number of households that received the following <u>HOPWA-funded</u> services:	
a. Housing Subsidy Assistance (duplicated)-TBRA, STRMU, PHP, Facility-Based Housing, and Master Leasing	114
b. Case Management	114
c. Adjustment for duplication (subtraction)	114
d. Total Households Served by Project Sponsors/Subrecipients with Housing Subsidy Assistance (Sum of Rows a.b. minus Row c.)	114
2. For Project Sponsors/Subrecipients did NOT provide HOPWA Housing Subsidy Assistance: Identify the total number of households that received the following <u>HOPWA-funded</u> service:	
a. HOPWA Case Management	109
b. Total Households Served by Project Sponsors/Subrecipients without Housing Subsidy Assistance	109

1b. Status of Households Accessing Care and Support

Column [1]: Of the households identified as receiving services from project sponsors/subrecipients that provided HOPWA housing subsidy assistance as identified in Chart 1a., Row 1d. above, report the number of households that demonstrated access or maintained connections to care and support within the program year.

Column [2]: Of the households identified as receiving services from project sponsors/subrecipients that did NOT provide HOPWA housing subsidy assistance as reported in Chart 1a., Row 2b., report the number of households that demonstrated improved access or maintained connections to care and support within the program year.

Note: For information on types and sources of income and medical insurance/assistance, refer to Charts below.

B. Categories of Services Accessed	[1] For project sponsors/subrecipients that provided HOPWA housing subsidy assistance, identify the households who demonstrated the following:	[2] For project sponsors/subrecipients that did NOT provide HOPWA housing subsidy assistance, identify the households who demonstrated the following:	Outcome Indicator
1. Has a housing plan for maintaining or establishing stable on-going housing	114	107	<i>Support for Stable Housing</i>
2. Had contact with case manager/benefits counselor consistent with the schedule specified in client's individual service plan (may include leveraged services such as Ryan White Medical Case Management)	114	109	<i>Access to Support</i>
3. Had contact with a primary health care provider consistent with the schedule specified in client's individual service plan	114	107	<i>Access to Health Care</i>
4. Accessed and maintained medical insurance/assistance	114	109	<i>Access to Health Care</i>
5. Successfully accessed or maintained qualification for sources	114	103	<i>Sources of</i>

of income			<i>Income</i>
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Chart 1b., Line 4: Sources of Medical Insurance and Assistance include, but are not limited to the following (Reference only)

<ul style="list-style-type: none"> MEDICAID Health Insurance Program, or use local program name MEDICARE Health Insurance Program, or use local program name 	<ul style="list-style-type: none"> Veterans Affairs Medical Services AIDS Drug Assistance Program (ADAP) State Children's Health Insurance Program (SCHIP), or use local program name 	<ul style="list-style-type: none"> Ryan White-funded Medical or Dental Assistance
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Chart 1b., Row 5: Sources of Income include, but are not limited to the following (Reference only)

<ul style="list-style-type: none"> Earned Income Veteran's Pension Unemployment Insurance Pension from Former Job Supplemental Security Income (SSI) 	<ul style="list-style-type: none"> Child Support Social Security Disability Income (SSDI) Alimony or other Spousal Support Veteran's Disability Payment Retirement Income from Social Security Worker's Compensation 	<ul style="list-style-type: none"> General Assistance (GA), or use local program name Private Disability Insurance Temporary Assistance for Needy Families (TANF) Other Income Sources
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1c. Households that Obtained Employment

Column [1]: Of the households identified as receiving services from project sponsors/subrecipients that provided HOPWA housing subsidy assistance as identified in Chart 1a., Row 1d. above, report on the number of households that include persons who obtained an income-producing job during the operating year that resulted from HOPWA-funded Job training, employment assistance, education or related case management/counseling services.

Column [2]: Of the households identified as receiving services from project sponsors/subrecipients that did NOT provide HOPWA housing subsidy assistance as reported in Chart 1a., Row 2b., report on the number of households that include persons who obtained an income-producing job during the operating year that resulted from HOPWA-funded Job training, employment assistance, education or case management/counseling services.

Note: This includes jobs created by this project sponsor/subrecipients or obtained outside this agency.

Note: Do not include jobs that resulted from leveraged job training, employment assistance, education or case management/counseling services.

Categories of Services Accessed	[1 For project sponsors/subrecipients that provided HOPWA housing subsidy assistance, identify the households who demonstrated the following:	[2] For project sponsors/subrecipients that did NOT provide HOPWA housing subsidy assistance, identify the households who demonstrated the following:
Total number of households that obtained an income-producing job	6	12

End of PART 4

PART 5: Worksheet - Determining Housing Stability Outcomes (optional)

1. This chart is designed to assess program results based on the information reported in Part 4 and to help Grantees determine overall program performance. Completion of this worksheet is optional.

Permanent Housing Subsidy Assistance	Stable Housing (# of households remaining in program plus 3+4+5+6)	Temporary Housing (2)	Unstable Arrangements (1+7+8)	Life Event (9)
Tenant-Based Rental Assistance (TBRA)				
Permanent Facility-based Housing Assistance/Units				
Transitional/Short-Term Facility-based Housing Assistance/Units				
Total Permanent HOPWA Housing Subsidy Assistance				
Reduced Risk of Homelessness: Short-Term Assistance	Stable/Permanent Housing	Temporarily Stable, with Reduced Risk of Homelessness	Unstable Arrangements	Life Events
Short-Term Rent, Mortgage, and Utility Assistance (STRMU)				
Total HOPWA Housing Subsidy Assistance				

Background on HOPWA Housing Stability Codes

Stable Permanent Housing/Ongoing Participation

3 = Private Housing in the private rental or home ownership market (without known subsidy, including permanent placement with families or other self-sufficient arrangements) with reasonable expectation that additional support is not needed.

4 = Other HOPWA-funded housing subsidy assistance (not STRMU), e.g. TBRA or Facility-Based Assistance.

5 = Other subsidized house or apartment (non-HOPWA sources, e.g., Section 8, HOME, public housing).

6 = Institutional setting with greater support and continued residence expected (e.g., residential or long-term care facility).

Temporary Housing

2 = Temporary housing - moved in with family/friends or other short-term arrangement, such as Ryan White subsidy, transitional housing for homeless, or temporary placement in institution (e.g., hospital, psychiatric hospital or other psychiatric facility, substance abuse treatment facility or detox center).

Unstable Arrangements

1 = Emergency shelter or no housing destination such as places not meant for habitation (e.g., a vehicle, an abandoned building, bus/train/subway station, or anywhere outside).

7 = Jail /prison.

8 = Disconnected or disappeared from project support, unknown destination or no assessments of housing needs were undertaken.

Life Event

9 = Death, i.e., remained in housing until death. This characteristic is not factored into the housing stability equation.

Tenant-based Rental Assistance: Stable Housing is the sum of the number of households that (i) remain in the housing and (ii) those that left the assistance as reported under: 3, 4, 5, and 6. Temporary Housing is the number of households that accessed assistance, and left their current housing for a non-permanent housing arrangement, as reported under item: 2. Unstable Situations is the sum of numbers reported under items: 1, 7, and 8.

Permanent Facility-Based Housing Assistance: Stable Housing is the sum of the number of households that (i) remain in the housing and (ii) those that left the assistance as shown as items: 3, 4, 5, and 6. Temporary Housing is the number of households that accessed assistance, and left their current housing for a non-permanent housing arrangement, as reported under item 2. Unstable Situations is the sum of numbers reported under items: 1, 7, and 8.

Transitional/Short-Term Facility-Based Housing Assistance: Stable Housing is the sum of the number of households that (i) continue in the residences (ii) those that left the assistance as shown as items: 3, 4, 5, and 6. Other Temporary Housing is the number of households that accessed assistance, and left their current housing for a non-permanent housing arrangement, as reported under item 2. Unstable Situations is the sum of numbers reported under items: 1, 7, and 8.

Tenure Assessment. A baseline of households in transitional/short-term facilities for assessment purposes, indicate the number of households whose tenure exceeded 24 months.

STRMU Assistance: Stable Housing is the sum of the number of households that accessed assistance for some portion of the permitted 21-week period and there is reasonable expectation that additional support is not needed in order to maintain permanent housing living situation (as this is a time-limited form of housing support) as reported under housing status: Maintain Private Housing with subsidy; Other Private with Subsidy; Other HOPWA support; Other Housing Subsidy; and Institution. Temporarily Stable, with Reduced Risk of Homelessness is the sum of the number of households that accessed assistance for some portion of the permitted 21-week period or left their current housing arrangement for a transitional facility or other temporary/non-permanent housing arrangement and there is reasonable expectation additional support will be needed to maintain housing arrangements in the next year, as reported under housing status: Likely to maintain current housing arrangements, with additional STRMU assistance; Transitional Facilities/Short-term; and Temporary/Non-Permanent Housing arrangements Unstable Situation is the sum of number of households reported under housing status: Emergency Shelter; Jail/Prison; and Disconnected.

End of PART 5

PART 6: Annual Certification of Continued Usage for HOPWA Facility-Based Stewardship Units (ONLY)**N/A**

The Annual Certification of Usage for HOPWA Facility-Based Stewardship Units is to be used in place of Part 7B of the CAPER if the facility was originally acquired, rehabilitated or constructed/developed in part with HOPWA funds but no HOPWA funds were expended during the operating year. Scattered site units may be grouped together on one page.

Grantees that used HOPWA funding for new construction, acquisition, or substantial rehabilitation are required to operate their facilities for HOPWA eligible individuals for at least ten (10) years. If non-substantial rehabilitation funds were used they are required to operate for at least three (3) years. Stewardship begins once the facility is put into operation.

Note: See definition of Stewardship Units.

1. General information

HUD Grant Number(s)	Operating Year for this report <i>From (mm/dd/yy) To (mm/dd/yy)</i> <input type="checkbox"/> Final Yr <input type="checkbox"/> Yr 1; <input type="checkbox"/> Yr 2; <input type="checkbox"/> Yr 3; <input type="checkbox"/> Yr 4; <input type="checkbox"/> Yr 5; <input type="checkbox"/> Yr 6; <input type="checkbox"/> Yr 7; <input type="checkbox"/> Yr 8; <input type="checkbox"/> Yr 9; <input type="checkbox"/> Yr 10;
Grantee Name	Date Facility Began Operations (mm/dd/yy)

2. Number of Units and Non-HOPWA Expenditures

Facility Name:	Number of Stewardship Units Developed with HOPWA funds	Amount of Non-HOPWA Funds Expended in Support of the Stewardship Units during the Operating Year
Total Stewardship Units (subject to 3- or 10- year use periods)		

3. Details of Project Site

Project Sites: Name of HOPWA-funded project	
Site Information: Project Zip Code(s)	
Site Information: Congressional District(s)	
Is the address of the project site confidential?	<input type="checkbox"/> Yes, protect information; do not list <input type="checkbox"/> Not confidential; information can be made available to the public
If the site is not confidential: Please provide the contact information, phone, email address/location, if business address is different from facility address	

I certify that the facility that received assistance for acquisition, rehabilitation, or new construction from the Housing Opportunities for Persons with AIDS Program has operated as a facility to assist HOPWA-eligible persons from the date shown above. I also certify that the grant is still serving the planned number of HOPWA-eligible households at this facility through leveraged resources and all other requirements of the grant agreement are being satisfied.

I hereby certify that all the information stated herein, as well as any information provided in the accompaniment herewith, is true and accurate.

Name & Title of Authorized Official of the organization that continues to operate the facility:	Signature & Date (mm/dd/yy)
Name & Title of Contact at Grantee Agency (person who can answer questions about the report and program)	Contact Phone (with area code)

End of PART 6

Part 7: Summary Overview of Grant Activities**A. Information on Individuals, Beneficiaries, and Households Receiving HOPWA Housing Subsidy Assistance (TBRA, STRMU, Facility-Based Units, Permanent Housing Placement and Master Leased Units ONLY)**

Note: Reporting for this section should include *ONLY* those individuals, beneficiaries, or households that received and/or resided in a household that received HOPWA Housing Subsidy Assistance as reported in Part 3, Chart 1, Row 7, Column b. (e.g., do not include households that received HOPWA supportive services *ONLY*).

Section 1. HOPWA-Eligible Individuals who Received HOPWA Housing Subsidy Assistance**a. Total HOPWA Eligible Individuals Living with HIV/AIDS**

In Chart a., provide the total number of eligible (and unduplicated) low-income individuals living with HIV/AIDS who qualified their household to receive HOPWA housing subsidy assistance during the operating year. This total should include only the individual who qualified the household for HOPWA assistance, NOT all HIV positive individuals in the household.

Individuals Served with Housing Subsidy Assistance	Total
Number of individuals with HIV/AIDS who qualified their household to receive HOPWA housing subsidy assistance.	114

Chart b. Prior Living Situation

In Chart b., report the prior living situations for all Eligible Individuals reported in Chart a. In Row 1, report the total number of individuals who continued to receive HOPWA housing subsidy assistance from the prior operating year into this operating year. In Rows 2 through 17, indicate the prior living arrangements for all new HOPWA housing subsidy assistance recipients during the operating year.

Data Check: The total number of eligible individuals served in Row 18 equals the total number of individuals served through housing subsidy assistance reported in Chart a. above.

Category		Total HOPWA Eligible Individuals Receiving Housing Subsidy Assistance
1.	<u>Continuing</u> to receive HOPWA support from the prior operating year	30
New Individuals who received HOPWA Housing Subsidy Assistance support during Operating Year		
2.	Place not meant for human habitation (such as a vehicle, abandoned building, bus/train/subway station/airport, or outside)	
3.	Emergency shelter (including hotel, motel, or campground paid for with emergency shelter voucher)	8
4.	Transitional housing for homeless persons	
5.	Total number of new Eligible Individuals who received HOPWA Housing Subsidy Assistance with a Prior Living Situation that meets HUD definition of homelessness (Sum of Rows 2 – 4)	
6.	Permanent housing for formerly homeless persons (such as Shelter Plus Care, SHP, or SRO Mod Rehab)	
7.	Psychiatric hospital or other psychiatric facility	1
8.	Substance abuse treatment facility or detox center	2
9.	Hospital (non-psychiatric facility)	1
10.	Foster care home or foster care group home	
11.	Jail, prison or juvenile detention facility	3
12.	Rented room, apartment, or house	31
13.	House you own	1
14.	Staying or living in someone else's (family and friends) room, apartment, or house	31
15.	Hotel or motel paid for without emergency shelter voucher	
16.	Other	4
17.	Don't Know or Refused	2
18.	TOTAL Number of HOPWA Eligible Individuals (sum of Rows 1 and 5-17)	114

c. Homeless Individual Summary

In Chart c., indicate the number of eligible individuals reported in Chart b., Row 5 as homeless who also are homeless Veterans and/or meet the definition for Chronically Homeless (See Definition section of CAPER). The totals in Chart c. do not need to equal the total

in Chart b., Row 5.

Category	Number of Homeless Veteran(s)	Number of Chronically Homeless
HOPWA eligible individuals served with HOPWA Housing Subsidy Assistance	2	8

Section 2. Beneficiaries

In Chart a., report the total number of HOPWA eligible individuals living with HIV/AIDS who received HOPWA housing subsidy assistance (*as reported in Part 7A, Section 1, Chart a.*), and all associated members of their household who benefitted from receiving HOPWA housing subsidy assistance (resided with HOPWA eligible individuals).

Note: See definition of HOPWA Eligible Individual

Note: See definition of Transgender.

Note: See definition of Beneficiaries.

Data Check: The sum of *each* of the Charts b. & c. on the following two pages equals the total number of beneficiaries served with HOPWA housing subsidy assistance as determined in Chart a., Row 4 below.

a. Total Number of Beneficiaries Served with HOPWA Housing Subsidy Assistance

Individuals and Families Served with HOPWA Housing Subsidy Assistance	Total Number
1. Number of individuals with HIV/AIDS who qualified the household to receive HOPWA housing subsidy assistance (equals the number of HOPWA Eligible Individuals reported in Part 7A, Section 1, Chart a.)	114
2. Number of ALL other persons diagnosed as HIV positive who reside with the HOPWA eligible individuals identified in Row 1 and who benefitted from the HOPWA housing subsidy assistance	2
3. Number of ALL other persons NOT diagnosed as HIV positive who reside with the HOPWA eligible individual identified in Row 1 and who benefitted from the HOPWA housing subsidy	62
4. TOTAL number of ALL <u>beneficiaries</u> served with Housing Subsidy Assistance (Sum of Rows 1,2, & 3)	178

b. Age and Gender

In Chart b., indicate the Age and Gender of all beneficiaries as reported in Chart a. directly above. Report the Age and Gender of all HOPWA Eligible Individuals (those reported in Chart a., Row 1) using Rows 1-5 below and the Age and Gender of all other beneficiaries (those reported in Chart a., Rows 2 and 3) using Rows 6-10 below. The number of individuals reported in Row 11, Column E. equals the total number of beneficiaries reported in Part 7, Section 2, Chart a., Row 4.

HOPWA Eligible Individuals (Chart a, Row 1)						
		A.	B.	C.	D.	E.
		Male	Female	Transgender M to F	Transgender F to M	TOTAL (Sum of Columns A-D)
1.	Under 18	1	0	0	0	1
2.	18 to 30 years	3	3	0	0	6
3.	31 to 50 years	31	31	1	0	63
4.	51 years and Older	21	23	0	0	44
5.	Subtotal (Sum of Rows 1-4)	56	57	1	0	114
All Other Beneficiaries (Chart a, Rows 2 and 3)						
		A.	B.	C.	D.	E.
		Male	Female	Transgender M to F	Transgender F to M	TOTAL (Sum of Columns A-D)
6.	Under 18	5	1	0	0	6
7.	18 to 30 years	3	15	0	0	18
8.	31 to 50 years	15	6	0	0	21
9.	51 years and Older	8	14	0	0	19
10.	Subtotal (Sum of Rows 6-9)	31	33	0	0	64
Total Beneficiaries (Chart a, Row 4)						
11.	TOTAL (Sum of Rows 5 & 10)	87	90	1	0	178

c. Race and Ethnicity*

In Chart c., indicate the Race and Ethnicity of all beneficiaries receiving HOPWA Housing Subsidy Assistance as reported in Section 2, Chart a., Row 4. Report the race of all HOPWA eligible individuals in Column [A]. Report the ethnicity of all HOPWA eligible individuals in column [B]. Report the race of all other individuals who benefitted from the HOPWA housing subsidy assistance in column [C]. Report the ethnicity of all other individuals who benefitted from the HOPWA housing subsidy assistance in column [D]. The summed total of columns [A] and [C] equals the total number of beneficiaries reported above in Section 2, Chart a., Row 4.

Category		HOPWA Eligible Individuals		All Other Beneficiaries	
		[A] Race [all individuals reported in Section 2, Chart a., Row 1]	[B] Ethnicity [Also identified as Hispanic or Latino]	[C] Race [total of individuals reported in Section 2, Chart a., Rows 2 & 3]	[D] Ethnicity [Also identified as Hispanic or Latino]
1.	American Indian/Alaskan Native				
2.	Asian				
3.	Black/African American	23		20	
4.	Native Hawaiian/Other Pacific Islander				
5.	White	15		19	
6.	American Indian/Alaskan Native & White				
7.	Asian & White				
8.	Black/African American & White	59	59	16	16
9.	American Indian/Alaskan Native & Black/African American				
10.	Other Multi-Racial	17	17	8	8
11.	Column Totals (Sum of Rows 1-10)	114	76	64	24
Data Check: Sum of Row 11 Column A and Row 11 Column C equals the total number HOPWA Beneficiaries reported in Part 3A, Section 2, Chart a., Row 4.					

*Reference (data requested consistent with Form HUD-27061 Race and Ethnic Data Reporting Form)

Section 3. Households

Household Area Median Income

Report the area median income(s) for all households served with HOPWA housing subsidy assistance.

Data Check: The total number of households served with HOPWA housing subsidy assistance should equal Part 3C, Row 7, Column b and Part 7A, Section 1, Chart a. (Total HOPWA Eligible Individuals Served with HOPWA Housing Subsidy Assistance).

Note: Refer to http://www.huduser.org/portal/datasets/il/il2010/select_Geography_mfi.odn for information on area median income in your community.

Percentage of Area Median Income		Households Served with HOPWA Housing Subsidy Assistance
1.	0-30% of area median income (extremely low)	85
2.	31-50% of area median income (very low)	1
3.	51-80% of area median income (low)	
4.	Total (Sum of Rows 1-3)	86

N/A

Part 7: Summary Overview of Grant Activities
B. Facility-Based Housing Assistance

Complete one Part 7B for each facility developed or supported through HOPWA funds.

Do not complete this Section for programs originally developed with HOPWA funds but no longer supported with HOPWA funds. If a facility was developed with HOPWA funds (subject to ten years of operation for acquisition, new construction and substantial rehabilitation costs of stewardship units, or three years for non-substantial rehabilitation costs), but HOPWA funds are no longer used to support the facility, the project sponsor or subrecipient should complete Part 6: Annual Certification of Continued Usage for HOPWA Facility-Based Stewardship Units (ONLY).

Complete Charts 2a., Project Site Information, and 2b., Type of HOPWA Capital Development Project Units, for all Development Projects, including facilities that were past development projects, but continued to receive HOPWA operating dollars this reporting year.

1. Project Sponsor/Subrecipient Agency Name (Required)

--

2. Capital Development

2a. Project Site Information for HOPWA Capital Development of Projects (For Current or Past Capital Development Projects that receive HOPWA Operating Costs this reporting year)

Note: If units are scattered-sites, report on them as a group and under type of Facility write "Scattered Sites."

Type of Development this operating year	HOPWA Funds Expended this operating year (if applicable)	Non-HOPWA funds Expended (if applicable)	Name of Facility:
<input type="checkbox"/> New construction	\$	\$	Type of Facility [Check <u>only one</u> box.] <input type="checkbox"/> Permanent housing <input type="checkbox"/> Short-term Shelter or Transitional housing <input type="checkbox"/> Supportive services only facility
<input type="checkbox"/> Rehabilitation	\$	\$	
<input type="checkbox"/> Acquisition	\$	\$	
<input type="checkbox"/> Operating	\$	\$	
a.	Purchase/lease of property:		Date (mm/dd/yy):
b.	Rehabilitation/Construction Dates:		Date started: Date Completed:
c.	Operation dates:		Date residents began to occupy: <input type="checkbox"/> Not yet occupied
d.	Date supportive services began:		Date started: <input type="checkbox"/> Not yet providing services
e.	Number of units in the facility:		HOPWA-funded units = Total Units =
f.	Is a waiting list maintained for the facility?		<input type="checkbox"/> Yes <input type="checkbox"/> No <i>If yes, number of participants on the list at the end of operating year</i>
g.	What is the address of the facility (if different from business address)?		
h.	Is the address of the project site confidential?		<input type="checkbox"/> Yes, protect information; do not publish list <input type="checkbox"/> No, can be made available to the public

2b. Number and Type of HOPWA Capital Development Project Units (For Current or Past Capital

Development Projects that receive HOPWA Operating Costs this Reporting Year)

For units entered above in 2a. please list the number of HOPWA units that fulfill the following criteria:

	Number Designated for the Chronically Homeless	Number Designated to Assist the Homeless	Number Energy-Star Compliant	Number 504 Accessible
Rental units constructed (new) and/or acquired <u>with or without</u> rehab				
Rental units rehabbed				
Homeownership units constructed (if approved)				

3. Units Assisted in Types of Housing Facility/Units Leased by Project Sponsor or Subrecipient

Charts 3a., 3b. and 4 are required for each facility. In Charts 3a. and 3b., indicate the type and number of housing units in the facility, including master leased units, project-based or other scattered site units leased by the organization, categorized by the number of bedrooms per unit.

Note: The number units may not equal the total number of households served.

Please complete separate charts for each housing facility assisted. Scattered site units may be grouped together.

3a. Check one only

- ☐ Permanent Supportive Housing Facility/Units
☐ Short-term Shelter or Transitional Supportive Housing Facility/Units

3b. Type of Facility

Complete the following Chart for all facilities leased, master leased, project-based, or operated with HOPWA funds during the reporting year.

Name of Project Sponsor/Agency Operating the Facility/Leased Units:

Type of housing facility operated by the project sponsor/subrecipient		Total Number of Units in use during the Operating Year Categorized by the Number of Bedrooms per Units					
		SRO/Studio/0 bdrm	1 bdrm	2 bdrm	3 bdrm	4 bdrm	5+bdrm
a.	Single room occupancy dwelling						
b.	Community residence						
c.	Project-based rental assistance units or leased units						
d.	Other housing facility <u>Specify:</u>						

4. Households and Housing Expenditures

Enter the total number of households served and the amount of HOPWA funds expended by the project sponsor/subrecipient on subsidies for housing involving the use of facilities, master leased units, project based or other scattered site units leased by the organization.

Housing Assistance Category: Facility Based Housing		Output: Number of Households	Output: Total HOPWA Funds Expended during Operating Year by Project Sponsor/subrecipient
a.	Leasing Costs		
b.	Operating Costs		
c.	Project-Based Rental Assistance (PBRA) or other leased units		
d.	Other Activity (if approved in grant agreement) <u>Specify:</u>		
e.	Adjustment to eliminate duplication (subtract)		
f.	TOTAL Facility-Based Housing Assistance (Sum Rows a. through d. minus Row e.)		